
Part C Annual Performance Report (APR) FFY 2012



INDIANA



First Steps

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Part C State Annual Performance Report (APR) for FFY 2012

Overview of the Annual Performance Report (APR) Development: The Indiana Part C, APR for FFY2012 was developed by the Bureau of Child Development Services, Division of Disability and Rehabilitative Services, Family and Social Services Administration (the lead agency for Part C) utilizing direction and input from a broad group of stakeholders. These stakeholders included:

- Parents and community leaders from the Indiana Interagency Coordinating Council (ICC)
- Cluster Local Planning and Coordinating Councils (LPCCs) and Cluster System Points of Entry (SPOE)
- Providers
- Central Reimbursement Office (CRO)
- Indiana Department of Education, Division of Exceptional Learners
- Quality Review-Focused Monitoring Teams and state contractors for quality review, training and evaluation (Indiana Institute for Disability and Community at Indiana University)
- State staff from Family and Social Services Administration (FSSA), Bureau of Child Development Services (BCDS)

Stakeholder meetings were held in 2012 to discuss the State Performance Plan (SPP) and Indiana's progress in meeting the SPP targets. Data for the FFY2012 APR was presented to the ICC at their quarterly meeting on November. Additionally, all ICC members received updated drafts of the indicator narratives, as they were written. On January 15, 2014, the ICC completed its final review of the FFY2012 APR. The ICC Chairperson signed the Annual Report Certification to use the State's IDEA, Part C, APR for FFY2012 in lieu of submitting a separate ICC annual report.

Data for the indicators in the APR were provided from numerous sources. These include:

- the state centralized database (data warehouse)
- claims data from the Centralized Reimbursement Office (CRO)
- Quality Review-Focused Monitoring data, compiled from annual on-site Cluster reviews
- SPOE self-reviews and Cluster Performance Plan Progress Reports
- Early Childhood Outcomes (ECO) Family Survey (parent exit interviews)
- Child outcome data collected and analyzed by the Indiana Institute for Disability and Community (IIDC) at Indiana University.

All data used in this annual progress report has been verified by staff at the Bureau of Child Development Services, Indiana First Steps System.

Indiana has posted the State Performance Plan (SPP) for previous fiscal years FY 2005-2011. The Annual Progress Report (APR) for FFY2005-2011 along with OSEP letters of response to the State's December 2005 SPP and the FFY2005-FY2011 APR's on the First Steps web site located at <http://www.firststeps.in.gov> and the Unified Training System website at <https://www.utsprokids.org/forms-resources/state-forms-and-reports>. The Indiana APR for FFY2012 will be posted following its' submission on February 3, 2014. Public postings of the APR Indicator data for the state and each Cluster System Point of Entry (SPOE) can also be found at <https://www.utsprokids.org/forms-resources/state-forms-and-reports>.

Part C State Annual Performance Report (APR) for 2012**Overview of the Annual Performance Report Development:****Monitoring Priority: Early Intervention Services In Natural Environments**

Indicator 1: Percent of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner.

(20 U.S.C. 1416(a)(3)(A) and 1442)

Measurement:

Percent = [(# of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner) divided by the (total # of infants and toddlers with IFSPs)] times 100.

Account for untimely receipt of services, including the reasons for delays.

FFY	Measurable and Rigorous Target
2012	100% of infants and toddlers with IFSPs received the early intervention services on their IFSPs in a timely manner.

Definition of Timely:

In the 2005 SPP, Indiana defined timely as, “all services written in the IFSP are initiated within 30 calendar days from the IFSP date, with parent approval or within 30 days from the parent signature date on the IFSP service change page for newly added services”. The expectation is that 30 days represents a reasonable amount of time allowed for services to begin. This time period allows adequate time for authorized services to be entered into the Central Reimbursement Office (CRO) database, for provider agencies to be selected and for appointments with the family to be scheduled. As recommended by OSEP, in the SPP December 2005 letter, Indiana allows an exception for IFSP services that are delayed due to exceptional family circumstances and for less frequently delivered services, such as hearing aid maintenance scheduled on a quarterly basis.

Sample data was derived from early intervention record reviews performed by the Quality Review contractors and from state-verified, early intervention record reviews completed by the local SPOE as part of their quality review and progress monitoring system. Random pull lists of early intervention records were sent to each Cluster. Reviewers noted if the Documentation of Service Start form was present in the record and if all new services started within 30 days of the parent signature on the IFSP. If services were not delivered within 30 days, the reason for delay and actual date of service must be specified.

Indiana monitors each EIS program (Cluster) annually. For FFY2012, Indiana reviewed a sample of IFSPs (initials and any annuals that were adding a new service to the plan written between July 1, 2012 and June 30, 2013) to determine if new IFSP services were initiated within 30 days of the parent signature date of IFSP or service change page. The sampling unit for this indicator included all children with an IFSP written during FFY2012, (n=20,131). A minimum sample size of 644 IFSPs was determined by using a sampling calculator made available from the website (<http://www.raosoft.com/samplesize.html>) by Raosoft, Inc. The actual number sampled far exceeds the required sample size for a confidence level of 99%, with a confidence interval of +/- 5%. The sampling stratification process employed a random selection process based on gender and ethnicity. These random samples also include at least 8 files from every service coordinator in the state, thus insuring

that all geographic areas of the state were sampled. The data collection strategy involved samples from each of the ten regional Clusters. The purpose of using these categories was to ensure adequate representation of all children receiving First Steps services in Indiana.

Actual Target Data for 2012:

99.2% (2914/2936) of infants and toddlers with IFSPs received early intervention services in a timely manner (within 30 days of parent signature for all new services). All untimely services must be accounted for, including reason for delay.

Infants and Toddlers with IFSPs who Receive Early Intervention Services in a Timely Manner:

a. Number of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner.	2614
b. Total number of infants and toddlers with IFSPs	2636
Percent of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner (Percent = [(a) divided by (b)] times 100.	99.2%

Table C1.1 Timely Services by Cluster FFY2012

Cluster SPOE	# of IFSPs reviewed	% of total new IFSP services initiated ≤ 30 days	Services provided >30 days	Services never provided	Range in days to service start
State	2636	99.2% (2614/2636)	21	1	
Cluster A	368	99.5% (366/368)	2	0	31, 56
Cluster B	200	99.0% (198/200)	2	0	33,36,
Cluster C	98	100% (98/98)	0	0	n/a
Cluster D	127	100% (127/127)	0	0	n/a
Cluster E	195	99.5% (194/195)	1	0	52
Cluster F	154	99.4% (153/154)	1	1	Family unresponsive after multiple attempts
Cluster G	726	98.9% (718/726)	8	0	55, 63, 72, 5 files listed family reasons
Cluster H	112	100% (112/112)	0	0	n/a
Cluster I	277	97.5% (270/277)	7	0	32,37,37,38, 48,57,70
Cluster J	379	100% (379/379)	0	0	n/a

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2012:

The sample reviewed included 2636 initial and annual IFSPs written from July 1, 2012 through June 30, 2013. The sample was cumulative for the year and included four separate reporting periods. Overall 99.2% (2614-2636) of the records reviewed documented all new services written on the IFSP were initiated within 30 days of the parent signature date was (Table C1.1). This represents a .2% increase from the 99% reported for FFY2011. The Clusters demonstrated a level of compliance in excess of 96%.

Table C1.2 Subsequent Correction of Timely Services FFY2012

Cluster SPOE	State Verified Correction of Non-Compliance Data	Review Period and State Verification Date
Cluster A	100% (73/73)	(October 2012-December 2012) Verified 12/4/12
Cluster B	100% (59/59)	(October 2012-December 2012) Verified 12/5/12
Cluster C	100% (119/119)	(October 2012-December 2012) Verified 10/29/12
Cluster D	100% (25/25)	(October 2012-December 2012) Verified 12/7/12
Cluster E	100% (19/19)	(October 2012-November 2013) Verified 9/12/13
Cluster F	100% (52/52)	(October 2012-November 2013) Verified 9/12/13
Cluster G	100% (190/190)	(October 2012-December 2012) Verified 10/8/12
Cluster H	100% (15/15)	(October 2012-December 2012) Verified 10/29/12
Cluster I	100% (40/40)	(October 2012-November 2013) Verified 11/22/13
Cluster J	100% (41/41)	(October 2012-December 2012) Verified 11/28/12

All Clusters were able to come into compliance within the one year timeline. Reasons for noncompliance were reviewed by each SPOE and the lead agency. While the lead agency did not find any systemic errors, it was noted that in most instances the delay could be attributed to either a lack of communication between the Service Coordinator, provider and family, a scheduling difficulty between the parent and provider or a delay resulting from a specific choice of provider. There were five instances noting family reasons.

Correction of FFY 2011 Findings of Noncompliance (if State reported less than 100% compliance):

Level of compliance (actual target data) State reported for FFY 2011 for this indicator: 99%

1. Number of findings of noncompliance the State made during FFY 2011 (the period from July 1, 2011, through June 30, 2012)	10
2. Number of FFY 2011 findings the State verified as timely corrected (verified as corrected within one year from the date of notification to the EIS program of the finding)	10
3. Number of FFY 2011 findings <u>not</u> verified as corrected within one year [(1) minus (2)]	0

In accordance with the OSEP Memorandum 09-02, the state issued 10 findings for Indicator 1 (Clusters A, B, C, D, E, F, G, H, I, J) in FFY 2011. Indiana was able to demonstrate timely correction of noncompliance and state verification of correction for 10 of 10 Clusters. Verification of correction of noncompliance was completed prior to one year from the finding. The FFY 2011 APR reported that in the 29 individual child instances where services were not provided timely, 28 did receive the services, albeit not within 30 days. In the FFY 2011 APR, it was reported that one child, in Cluster J, never received services. Upon further review of the log notes and data entry information, services were eventually provided to this child but almost 5 months after the initial IFSP was written. The family moved within the county after the initial IFSP meeting but did not inform the local SPOE office about the move. Family re-initiated contact with the SPOE 3 months later indicating the new address and services began on day 126. Upon further review, all children (29 of 29 children) received their services, albeit beyond the 30 days,

and Indiana has verified and corrected each individual case of noncompliance, consistent with the requirements in OSEP Memo 09-02.

Verification of Correction: Verification of compliance was completed through onsite visits, which include file and data reviews. Corrections were verified at both the system and child level. All children received the services, albeit beyond the 30 days.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2012: The state has reviewed the target and improved activities along with timelines. There are no revisions proposed.

Part C State Annual Performance Report (APR) for 2012

Overview of the Annual Performance Report Development:

Monitoring Priority: Early Intervention Services In Natural Environments

Indicator 2: Percent of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings.

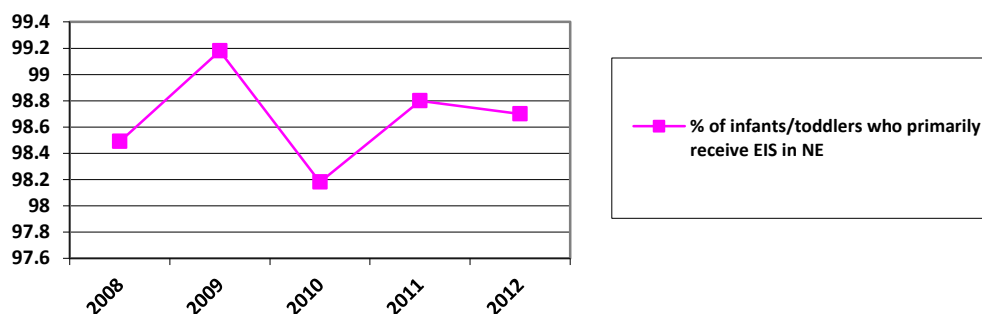
(20 U.S.C. 1416(a)(3)(A) and 1442)

Measurement: Percent = [(# of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings) divided by the (total # of infants and toddlers with IFSPs)] times 100.

FFY	Measurable and Rigorous Target
FFY2012	95% of Infants and toddlers with an IFSP primarily receive early intervention services in the home or community-based settings.

Actual Target Data for 2012:

As reported in Table 2 of the 618 data report, 98.7% (9110/9232) of Indiana's infants and toddlers with an IFSP primarily received early intervention services in the home or community-based settings (child care homes, child care centers, local parks, churches, etc.). Indiana has exceeded its target of 95% by over 3%. There were 122 children classified as having been served in other settings. This data represents a slight slippage from the 98.8% reported in FFY2011; however, this continues to be in line historically with previous years' trend.



For FFY2012, Indiana captured the number of early intervention services in the natural environment from the Central Reimbursement Office (CRO) provider claims data which require a location code for all services provided (these data are collected and analyzed by the state data warehouse). To validate that the claim location data are valid and reliable, Indiana performs billing reviews for approximately 10% of its early intervention providers annually. These reviews, conducted by the Quality Review contractors, compare the Face-to-Face form for each service provided during a specified two week period to the provider electronic claim data for the same period. The Face-to-Face form includes the date, time in, time out and service location address. The form is signed by the provider and the parent/guardian attesting to its accuracy. Provider Agencies are notified when discrepancies are found. Providers are required to payback any payments for services not provided as they were represented on the Face-to-Face form. These environments include the home and other community settings in which children without disabilities participate. When the IFSP team (including the parent and Service Coordinator) determines that the provision of early interventions services for an infant/toddler cannot satisfactorily be achieved in the child/family's natural environment, a setting other than a natural environment can be selected.

The IFSP teams make individualized decisions regarding the setting in which infants/toddlers receive early intervention services, in accordance with the IDEA. The IFSP team is trained to consider all possible service options for the child in order to individualize the IFSP for the child and family. When it has been determined by the IFSP team that services are best provided in a setting other than a natural environment for typically developing children, Indiana requires justification for such a decision, including options that were considered by the IFSP team, along with a plan and timeline for transitioning the service into the natural environment. This information becomes a part of the child's IFSP.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY12: The state has reviewed the target and improved activities along with timelines. There are no revisions proposed.

Part C State Annual Performance Report (APR) for FFY 2012**Overview of the Annual Performance Report Development:****Monitoring Priority: Early Intervention Services In Natural Environments****Indicator 3:** Percent of infants and toddlers with IFSPs who demonstrate improved:

- A. Positive social-emotional skills (including social relationships);
- B. Acquisition and use of knowledge and skills (including early language/ communication); and
- C. Use of appropriate behaviors to meet their needs.

(20 U.S.C. 1416(a)(3)(A) and 1442)

Measurement:

A. Positive social-emotional skills (including social relationships):

- a. Percent of infants and toddlers who did not improve functioning = $[(\# \text{ of infants and toddlers who did not improve functioning}) \div (\# \text{ of infants and toddlers with IFSPs assessed})] \times 100$.
- b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers = $[(\# \text{ of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers}) \div (\# \text{ of infants and toddlers with IFSPs assessed})] \times 100$.
- c. Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it = $[(\# \text{ of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it}) \div (\# \text{ of infants and toddlers with IFSPs assessed})] \times 100$.
- d. Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers = $[(\# \text{ of infants and toddlers who improved functioning to reach a level comparable to same-aged peers}) \div (\# \text{ of infants and toddlers with IFSPs assessed})] \times 100$.
- e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers = $[(\# \text{ of infants and toddlers who maintained functioning at a level comparable to same-aged peers}) \div (\# \text{ of infants and toddlers with IFSPs assessed})] \times 100$.

If a + b + c + d + e does not sum to 100%, explain the difference.

B. Acquisition and use of knowledge and skills (including early language/communication):

- a. Percent of infants and toddlers who did not improve functioning = $[(\# \text{ of infants and toddlers who did not improve functioning}) \div (\# \text{ of infants and toddlers with IFSPs assessed})] \times 100$.
- b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers = $[(\# \text{ of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers}) \div (\# \text{ of infants and toddlers with IFSPs assessed})] \times 100$.
- c. Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it = $[(\# \text{ of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it}) \div (\# \text{ of infants and toddlers with IFSPs assessed})] \times 100$.

same-aged peers but did not reach it) divided by (# of infants and toddlers with IFSPs assessed)] times 100.

- d. Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers = [(# of infants and toddlers who improved functioning to reach a level comparable to same-aged peers) divided by (# of infants and toddlers with IFSPs assessed)] times 100.
- e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers = [(# of infants and toddlers who maintained functioning at a level comparable to same-aged peers) divided by (# of infants and toddlers with IFSPs assessed)] times 100.

If a + b + c + d + e does not sum to 100%, explain the difference.

C. Use of appropriate behaviors to meet their needs:

- a. Percent of infants and toddlers who did not improve functioning = [(# of infants and toddlers who did not improve functioning) divided by (# of infants and toddlers with IFSPs assessed)] times 100.
- b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers = [(# of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers) divided by the (# of infants and toddlers with IFSPs assessed)] times 100.
- c. Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it = [(# of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it) divided by the (# of infants and toddlers with IFSPs assessed)] times 100.
- d. Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers = [(# of infants and toddlers who improved functioning to reach a level comparable to same-aged peers) divided by the (# of infants and toddlers with IFSPs assessed)] times 100.
- e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers = [(# of infants and toddlers who maintained functioning at a level comparable to same-aged peers) divided by the (# of infants and toddlers with IFSPs assessed)] times 100.

Summary Statements for Each of the Three Outcomes:

Summary Statement 1: Of those infants and toddlers who entered or exited early intervention below age expectations in each Outcome, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program.

Measurement for Summary Statement 1: Percent = # of infants and toddlers reported in progress category (c) plus # of infants and toddlers reported in category (d) divided by [# of infants and toddlers reported in progress category (a) plus # of infants and toddlers reported in progress category (b) plus # of infants and toddlers reported in progress category (c) plus # of infants and toddlers reported in progress category (d)] times 100.

Summary Statement 2: The percent of infants and toddlers who were functioning within age expectations in each Outcome by the time they turned 3 years of age or exited the program.

Measurement for Summary Statement 2: Percent = # of infants and toddlers reported in progress category (d) plus [# of infants and toddlers reported in progress category (e) divided by the total # of infants and toddlers reported in progress categories (a) + (b) + (c) + (d) + (e)] times 100.

Measurable and Rigorous Targets for FFY 2009 through FFY 2012

Summary Statements	FFY 2009 % of children	FFY 2010 % of children	FFY 2011 % of children	FFY 2012 % of children
Outcome A: Positive social-emotional skills (including social relationships)				
1. Of those children who entered or exited the program below age expectations in Outcome A, the percent who substantially increased their rate of growth by the time they exited the program.	52%	53%	53%	53%
2. The percent of children who were functioning within age expectations in Outcome A by the time they exited the program.	50%	51%	51%	51%
Outcome B: Acquisition and use of knowledge and skills (including early language/communication and early literacy)				
1 Of those children who entered or exited the program below age expectations in Outcome B, the percent who substantially increased their rate of growth by the time they exited the program.	57%	58%	58%	58%
2. The percent of children who were functioning within age expectations in Outcome B by the time they exited the program.	69%	70%	70%	70%
Outcome C: Use of appropriate behaviors to meet their needs				
1 Of those children who entered or exited the program below age expectations in Outcome C, the percent who substantially increased their rate of growth by the time they exited the program.	54%	55%	55%	55%
2. The percent of children who were functioning within age expectations in Outcome C by the time they exited the program.	62%	63%	63%	63%

Actual Target Data for FFY

Summary Statements	Actual FFY 2009 (% and # children)	Actual FFY 2010 (% and # children)	Actual FFY 2011 (% of children)	Actual FFY 2012 (% of children)
Outcome A: Positive social-emotional skills (including social relationships)				
1. Of those children who entered or exited the program below age expectations in Outcome A, the percent who substantially increased their rate of growth by the time they exited the program. Formula: $c+d/a+b+c+d$	51% (n=6030)	49% (n= 7198)	50% (n= 6142)	52% (n=6474)
2. The percent of children who were functioning within age expectations in Outcome A by the time they exited the program. Formula: $d+e/a+b+c+d+e$	49% (n=6030)	47% (n=7198)	49% (n= 6142)	54% (n=6474)
Outcome B: Acquisition and use of knowledge and skills (including early language/communication and early literacy)				
1 Of those children who entered or exited the program below age expectations in Outcome B, the percent who substantially increased their rate of growth by the time they exited the program. Formula: $c+d/a+b+c+d$	59% (n=6030)	59% (n= 7198)	56% (n= 6142)	55% (n=6474)
2. The percent of children who were functioning within age expectations in Outcome B by the time they exited the program. Formula: $d+e/a+b+c+d+e$	69% (n=6030)	68% (n= 7198)	69% (n= 6142)	72% (n=6474)
Outcome C: Use of appropriate behaviors to meet their needs				
1 Of those children who entered or exited the program below age expectations in Outcome C, the percent who substantially increased their rate of growth by the time they exited the program. Formula: $c+d/a+b+c+d$	54% (n=6030)	52% (n= 7198)	53% (n= 6142)	50% n=6474)
2. The percent of children who were functioning within age expectations in Outcome C by the time they exited the program. Formula: $d+e/a+b+c+d+e$	59% (n=6030)	58% (n= 7198)	63% (n= 6142)	66% n=6474)

Progress Categories for Part C Children for Outcomes A, B, and C for FFY 2012

A. Positive social-emotional skills (including social relationships):	Number of children	% of children
a. Percent of children who did not improve functioning	77	1.2%
b. Percent of children who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	2362	36.5%
c. Percent of children who improved functioning to a level nearer to same-aged peers but did not reach	540	8.3%
d. Percent of children who improved functioning to reach a level comparable to same-aged peers	2117	32.7%
e. Percent of children who maintained functioning at a level comparable to same-aged peers	1378	21.3%
Total	6474	100.0%
B. Acquisition and use of knowledge and skills (including early language/communication and early literacy):	Number of children	% of children
a. Percent of children who did not improve functioning	64	1.0%
b. Percent of children who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	1198	18.5%
c. Percent of children who improved functioning to a level nearer to same-aged peers but did not reach	549	8.5%
d. Percent of children who improved functioning to reach a level comparable to same-aged peers	1008	15.6%
e. Percent of children who maintained functioning at a level comparable to same-aged peers	3655	56.5%
Total	6474	100.0%
C. Use of appropriate behaviors to meet their needs:	Number of children	% of children
a. Percent of children who did not improve functioning	90	1.4%
b. Percent of children who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	1743	26.9%
c. Percent of children who improved functioning to a level nearer to same-aged peers but did not reach	363	5.6%
d. Percent of children who improved functioning to reach a level comparable to same-aged peers	1499	23.2%
e. Percent of children who maintained functioning at a level comparable to same-aged peers	2779	42.9%
Total	6474	100.0%

Child outcome data was collected on all children exiting Indiana's Part C program who have received a minimum of 6 months of early intervention services. For FFY 2012, 6,497 children exited the state's Part C program receiving a minimum of 6 months of service. Complete child outcome data was collected on 6,474 children (99.6%); data for 23 children was not included due to data entry errors. It is estimated that this year's progress data is highly representative of the children served in Indiana's Part C program.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2012:

Indiana is divided into 10 regions with a local agency responsible (First Steps Cluster) for carrying out all intake and ongoing service coordination services. Each of these First Steps Clusters is responsible for collecting and inputting all child and family outcome data for analyses. The contractor, Indiana University, collects and analyses this data and provides quarterly reports to each Cluster and the state concerning child and family outcomes. For the first quarter of the fiscal year (July 2012 through September 2012), each cluster received their first report. If the cluster fell below the state targets for Outcomes A, B, and/or C, they are required to address this as a program goal in their Cluster Performance Plan; and take steps to increase outcomes among children served in their region. Each quarter the First Steps Clusters present their quarterly progress report showing progress in meeting the state targets and the program improvement activities they take within their region to make or continue improvements. The state vendor provides the analyses needed for their quarterly reports, and provide technical assistance as needed.

For FFY 2012, Indiana met its target for three of the six child outcome targets, consistently reaching its target for the percentage of children who were functioning within age expectations across all three Outcomes (A.2, B.2, and C.2). It missed its target for the percentage of children who substantially increased their rate of growth for all three Outcomes. Progress in meeting the missed target for Outcome A.1 was observed- a 2% increase compared with last year (FFY 2011). There was a slight drop in progress for both Outcomes B.1 (-1% drop) and C.1 (-3%).

In evaluating the slight slippage that occurred for Outcomes B.1 and C.1, it was noted that the measurement procedures have not changed, however it may be necessary for clusters to more actively engage in programmatic improvement efforts around these outcome measures.

While the state did not meet Outcome A.1, it should be noted that 6 of the 10 clusters did meet the target, and two clusters were very close to meeting the target. Progress in meeting the missed target for Outcome A.1 was observed - a 2% increase compared with last year (FFY 2011), putting the state 1% from the target.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2012

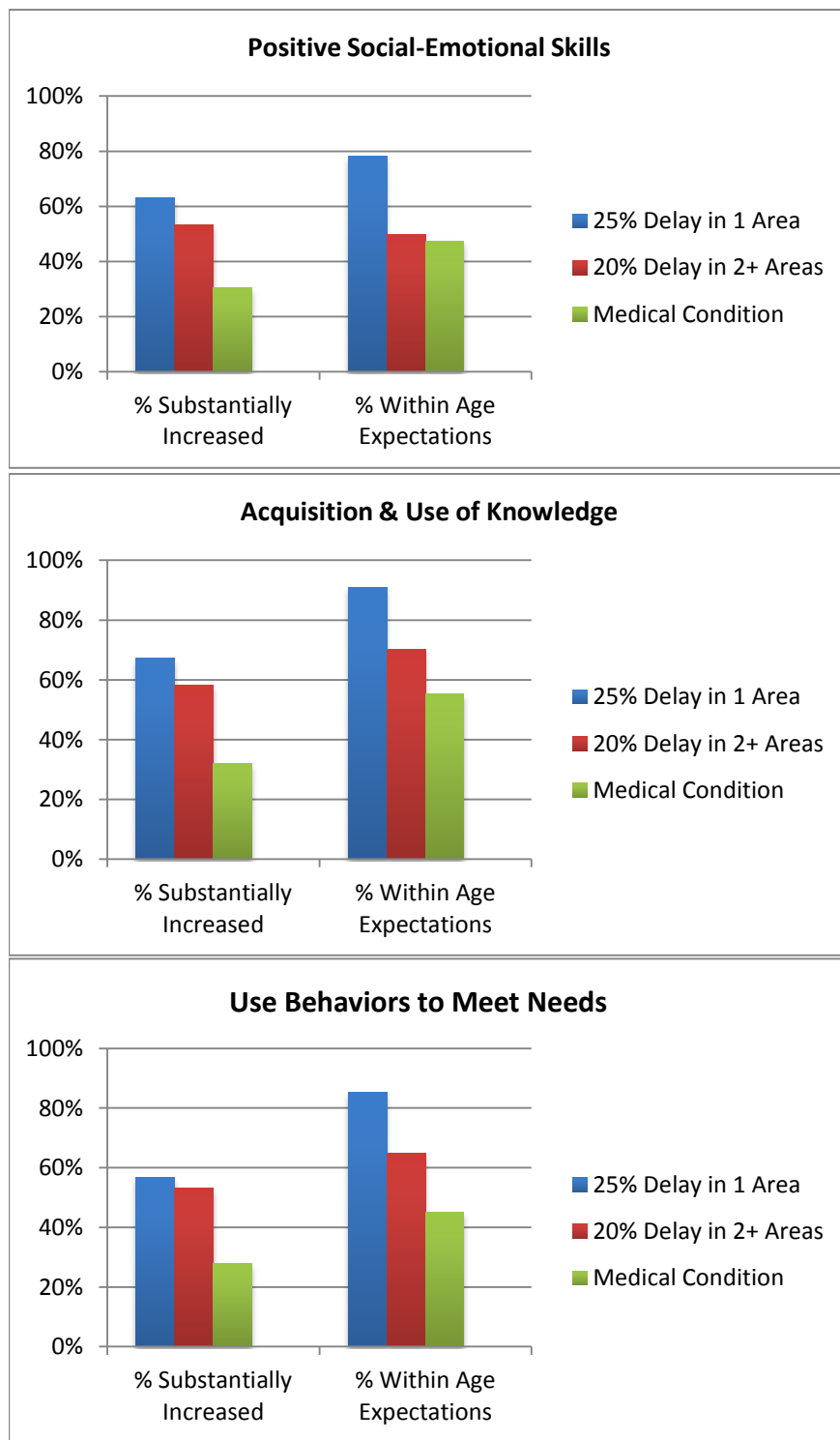
No revisions to the proposed targets, improvement activities or timelines are proposed. The state and its Quality Review contractor will meet with the clusters that did not meet the target for Child Outcomes A.1, B.1, and C.1 and discuss implications for their FFY2013 Cluster Performance Plan. Those Cluster Performance Plans are completed in February 2014.

Additional Analyses for Child Outcomes

It was noted that there were some First Steps Clusters that met some targets while others did not. An additional series of analyses with the child outcome data were conducted to determine if there were any differences among groups of children based on the following factors: child's eligibility status, child's ethnicity, family income, and geographic region (Cluster). Child outcome measures were the percentage of children who substantially increased their rate of growth by the time they turned 3 years of age or exited the program; and the percentage of children who were functioning within age expectations by the time they turned 3 years of age or exited the program. A series of charts are presented below depicting these differences.

Were there differences in child outcomes among the major eligibility categories?

Figure 1
Differences in Child Outcomes by Eligibility Status



Analyses were conducted to determine any differences among the three groups of children who are eligible for early intervention services (see Figure 1).

- Have an established physical or medical condition
- Experience a developmental delay of 25% or greater in at least one area of development
- Experience a developmental delay of 20% or greater in at least two areas of development.

The results presented in the Figure 1 indicate that a greater percentage of children diagnosed with a 25% delay experienced positive outcomes across both measures and all three outcome measures than children in the other two eligibility categories. This group was followed by children with 20% delays in two or more domains. Proportionally fewer children with established medical conditions demonstrated positive outcomes.

Were there differences in child outcomes among the major ethnicity groups?

Figure 2
Differences in Child Outcomes by Ethnicity

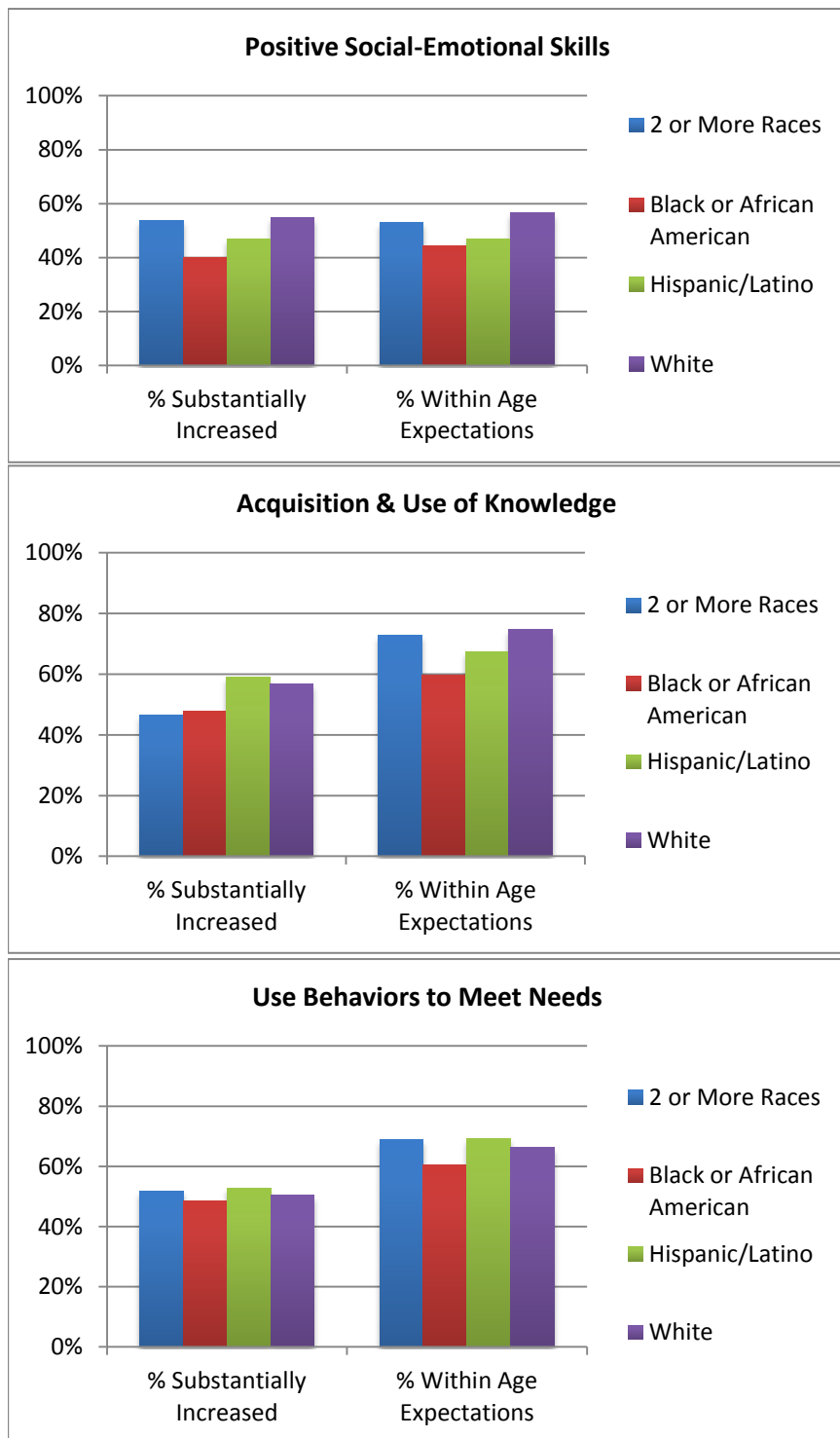


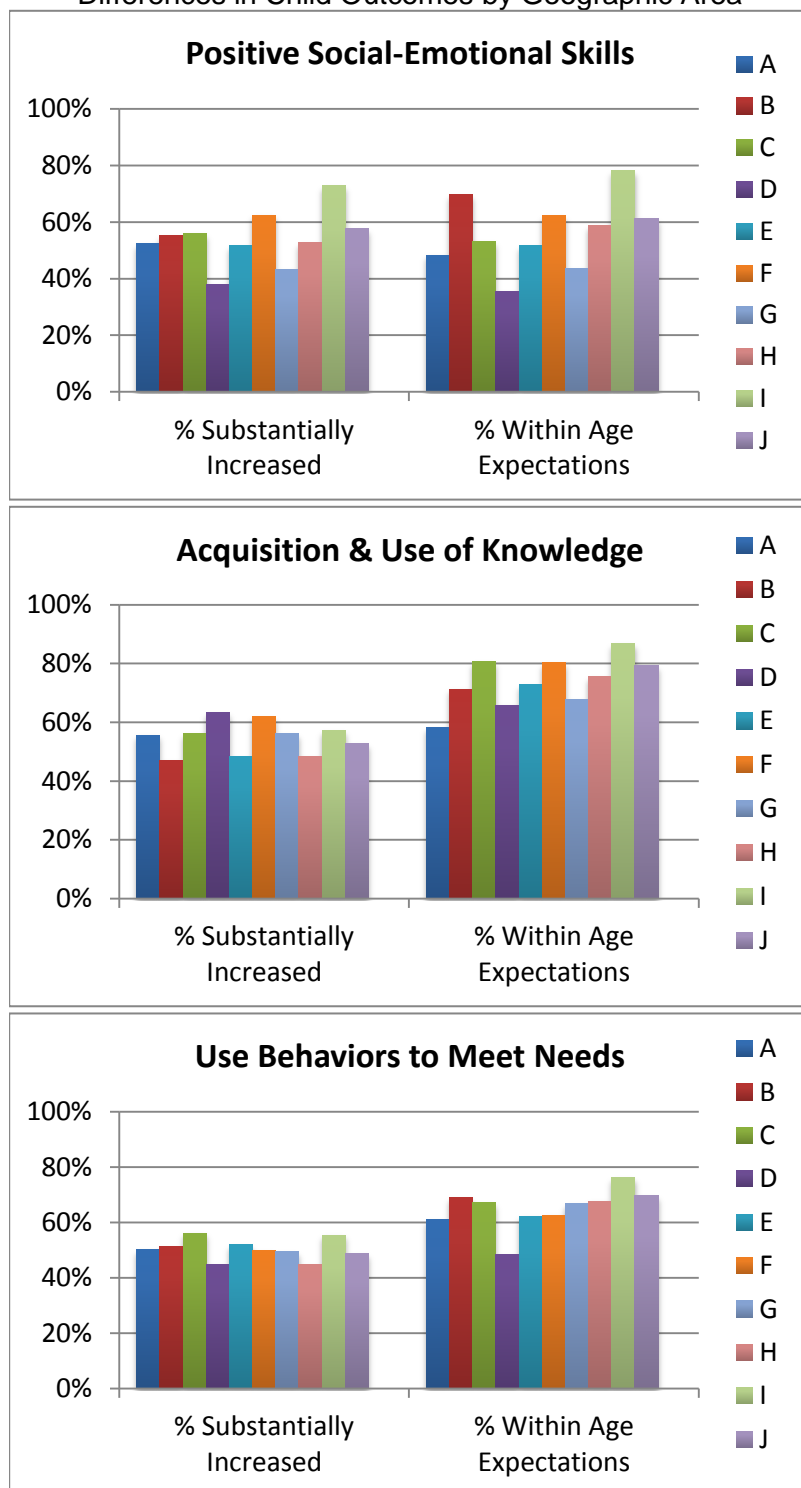
Figure 2 highlights differences among four major ethnic groups in Indiana.

A greater percentage of children who are White typically experienced both measures associated with the first two outcomes, Positive Social-Emotional Skills and the Acquisition and Use of Knowledge and Skills. Approximately 2-15% more white children exited First Steps within age expectations as compared with the children from the other three groups.

A slightly greater percentage of children who are Black or African American and children who are Hispanic/Latino, substantially increased their rate of growth for the Outcome, Use of Appropriate Behaviors to Meet Their Needs, than children who are white or multi-racial.

Where there differences in child outcomes across the major regions of the state?

Figure 3
Differences in Child Outcomes by Geographic Area

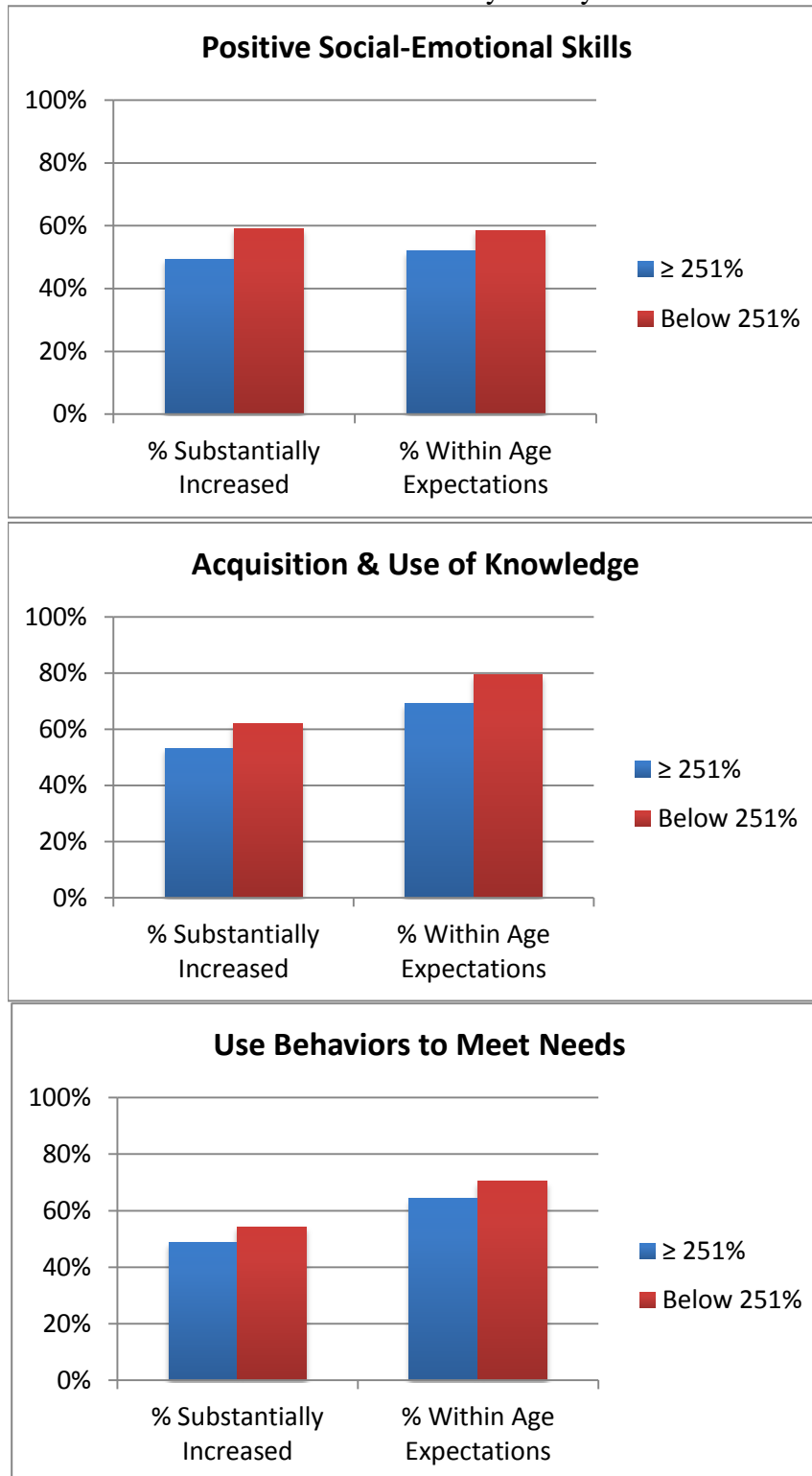


Indiana's First Steps program is organized into 10 regional units or Clusters that are managed by five different agencies. Each Cluster provides core early intervention services, including intake and ongoing service coordination. They work with provider agencies to implement the services written on IFSPs. The number of children served within each Cluster varies widely, with Cluster G serving the highest number of children included in this report (N=2085) and Cluster F serving the fewest children (N=257).

Figure 3 highlights variation among the Clusters. Notably are the low percentages of children in Cluster D and G who substantially increase or are within age expectations of positive social-emotional skills. Other differences exist among Clusters that will provide guidance in planning the FFY 2013 Cluster Performance Plans.

Were there differences in child outcomes between Family Income Levels?

Figure 4
Differences in Child Outcomes by Family Income Level



Indiana's First Steps program collects income data from all families as they enter the program and, at minimum, annually. Families with incomes less than 251% of the federal poverty guideline can receive early intervention services at no charge (N=4713). Families who have an income greater than or equal to 251% are charged a copayment fee for services outlined in the IFSP except service coordination (N=1594).

Figure 4 highlights differences between two family income groups. A greater percentage of children living in families at or above the 251% rate typically experienced greater success across all measures and outcomes. Other differences noted will provide guidance in planning the FFY 2013 Cluster Performance Plans.

Part C State Annual Performance Report (APR) for 2012**Overview of the Annual Performance Report Development:****Monitoring Priority: Early Intervention Services In Natural Environments**

Indicator 4: Percent of families participating in Part C who report that early intervention services have helped the family:

- A. Know their rights;
- B. Effectively communicate their children's needs; and
- C. Help their children develop and learn.

(20 U.S.C. 1416(a)(3)(A) and 1442)

Measurement:

- A. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped the family know their rights) divided by the (# of respondent families participating in Part C)] times 100.
- B. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped the family effectively communicate their children's needs) divided by the (# of respondent families participating in Part C)] times 100.
- C. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped the family help their children develop and learn) divided by the (# of respondent families participating in Part C)] times 100.

FFY	Measurable and Rigorous Target
2010 – 2012	<ul style="list-style-type: none"> A. 99% of respondent families participating in Part C who reported that early intervention services have helped the family know their rights. B. 99% of respondent families participating in Part C who reported that early intervention services have helped the family effectively communicate their children's needs. C. 97% of respondent families participating in Part C who reported that early intervention services have helped the family help their children develop and learn.

Actual Target Data for FFY 2012:

Target Data and Actual Target Data	FFY 2010 % of families	FFY 2011 % of families	FFY 2012 % of families
A. Know their rights	96.1% (4536/4720)	95.1% (3170/3333)	96.9% (4660/4810)
B. Effectively communicate their children's needs	98.9% (4667/4720)	95.3% (3176/3333)	96.2% (4626/4810)
C. Help their children develop and learn	95.8% (4524/4720)	93.8% (3126/3333)	95.3% (4583/4810)

Service Coordinators are asked to collect exit data from all families exiting the First Steps system. The exit survey is based on the questions/form provided by the ECO Center. This data is collected up to 3 months prior to the child and family's exit from First Steps. In FFY2012, 4,810 families completed the entire family survey. This represents 74.0% of all families (N=6,497) who exited First Steps and were in the program for a minimum of 6 months. The remaining 26% of families included families who partially completed the survey, could not be reached, families who declined, and families who did not complete the survey and for which no reason was given by the service coordinator. The sample demographics (race, gender, family income, and eligibility) were compared with those of the overall population of families exiting First Steps. The sample of families completing the exit survey is representative of the overall population.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2012:

This past year, the state carried out additional efforts designed to increase the percentage of families completing the exit family survey. Individual First Steps regions/Clusters were asked to include program improvement efforts to increase the percentage of families completing the exit survey. Each cluster provided quarterly progress reports and noted ongoing efforts to ensure completion and accuracy of the family survey data.

In addition, the state contracted with Indiana University to pilot the use of electronic tablets for completion of family surveys. Indiana University developed a secure database application that enables families to complete the family survey at home and confidentially using an electronic tablet. IU assisted with four clusters and 20 service coordinators to pilot this application with 360 families. Of those families, 304 families completed the family survey using the electronic tablet (84.4%), with the remaining 56 families either declining the survey or could not be reached. Given the initial success in encouraging higher rates of families to complete the family survey while preserving confidentiality of their responses, the project has expanded into three additional Clusters for the FFY2013 year.

Together, these two initiatives have had a dramatic impact on the number and percentage of families completing the exit survey. Compared with FFY 2011 in which 53.9% of families completed the exit survey, this year saw a dramatic 20% increase in the proportion of families completing the exit survey.

While our state's measurable targets were not met for each of the 3 family outcomes, we did see measurable increases (ranging from 0.9% to 1.8%) in the percentage of families meeting all 3 family outcomes (ranging from 0.9% to 1.8%) as compared with last year's data. The state will continue to review and monitor these results and coordinate with each of the clusters to monitor their performance.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for 2012:

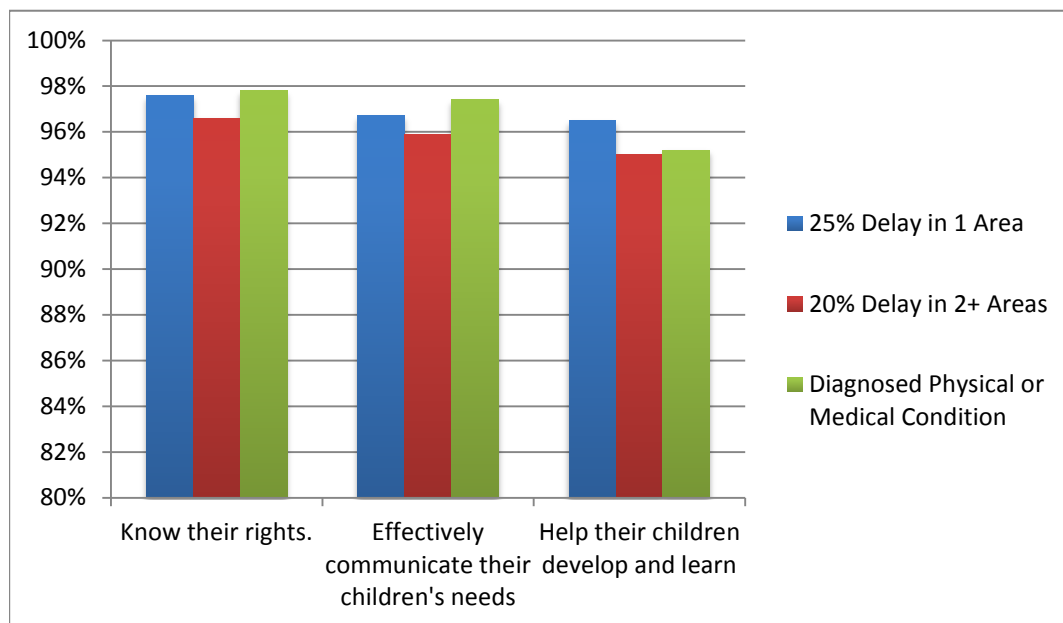
No revisions to the proposed targets or timelines are proposed.

Additional Analyses of Indiana's Family Outcome data.

An additional series of analyses with the family outcome data were conducted to investigate possible differences among groups of children based on the following factors: child's eligibility status, child's ethnicity, geographic area, and family income level. Family outcome measures were the percentage of families who reported that early intervention services have helped the family know their rights, effectively communicated their children's needs, and helped their children develop and learn.

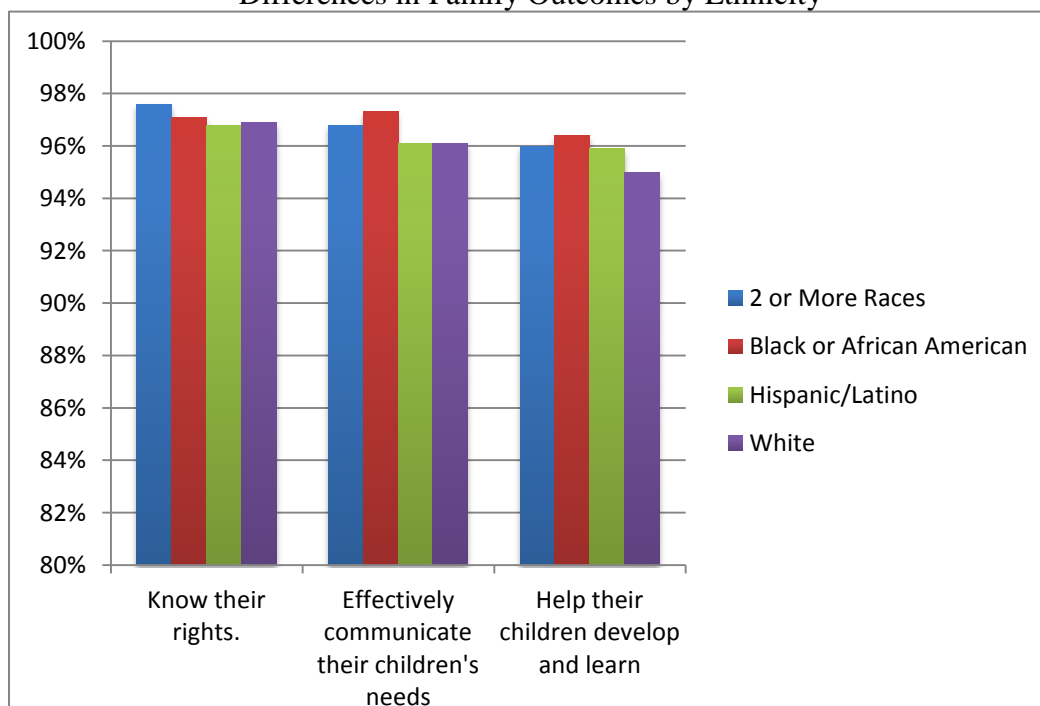
**Differences in
Family Outcomes
Based on
Eligibility Status**

Figure 4.a
Differences in Family Outcomes by Eligibility Status



“Differences among the three eligibility groups were minimal for all three outcomes (< 2% difference)

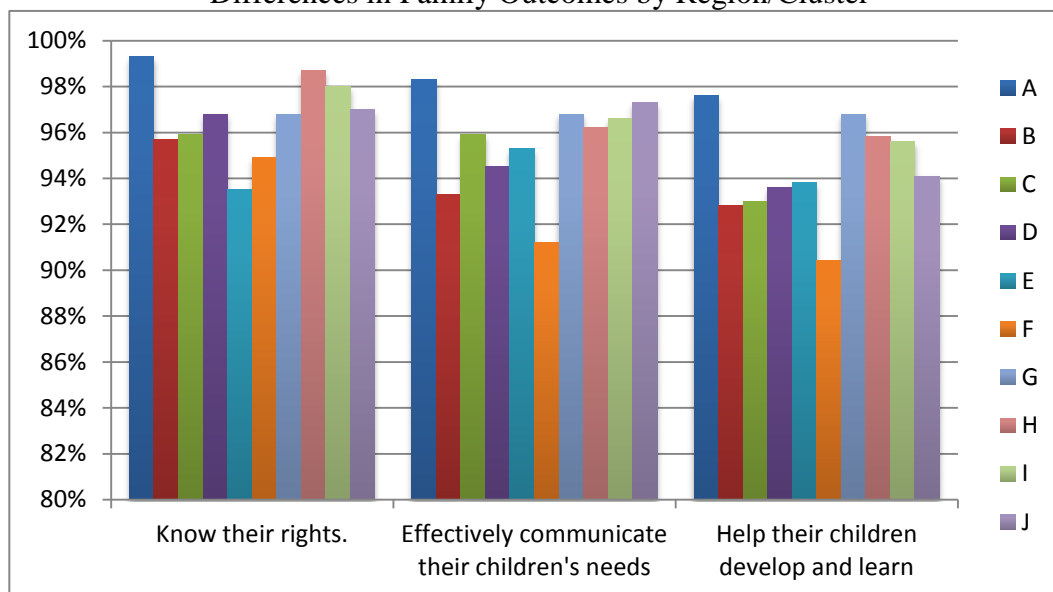
Figure 4b
Differences in Family Outcomes by Ethnicity

**Differences in
Family Outcomes Based
on Child's Race**

Differences among child ethnicity and family outcomes were minimal for all three outcome (<1.5% difference)

**Differences in
Family Outcomes
Based on
Region/Cluster**

Figure 4c
Differences in Family Outcomes by Region/Cluster



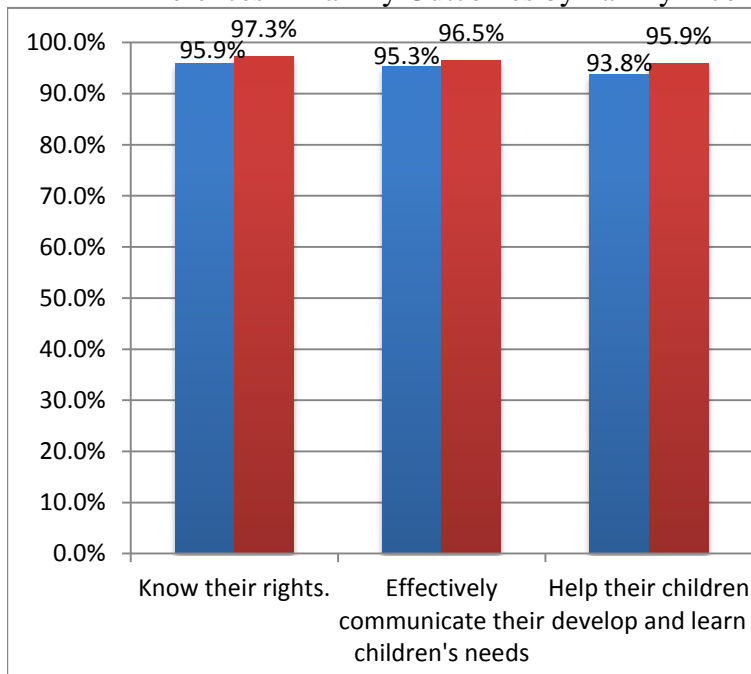
There were differences found in family outcomes among the 10 service regions in the date.

A higher percentage of families in Cluster A tended to experience each of the 3 family outcomes. Fewer families in Cluster E tended to experience the family outcomes of "Knows their Rights" as

compared with the other clusters.

In addition, fewer families in Clusters B and F experienced the outcome of "Effectively Communicate their Children's Needs" than other clusters. Finally, fewer families in Cluster F experienced the third outcome of "Helping their Children Develop and Learn" as compared with other clusters.

Figure 4d
Differences in Family Outcomes by Family Income Level

**Differences in Family
Outcomes Based on Family
Income Level**

Families with incomes below 251% of the federal poverty level are eligible to receive early intervention services at no cost; families above 251% experience copays that vary based on their income. There were minimal differences between the two income

groups across the three family outcomes (<2.1%).

Monitoring Priority: Effective General Supervision Part C / Child Find

Indicator 5: Percent of infants and toddlers birth to 1 with IFSPs compared to national data.

(20 U.S.C. 1416(a) (3)(B) and 1442)

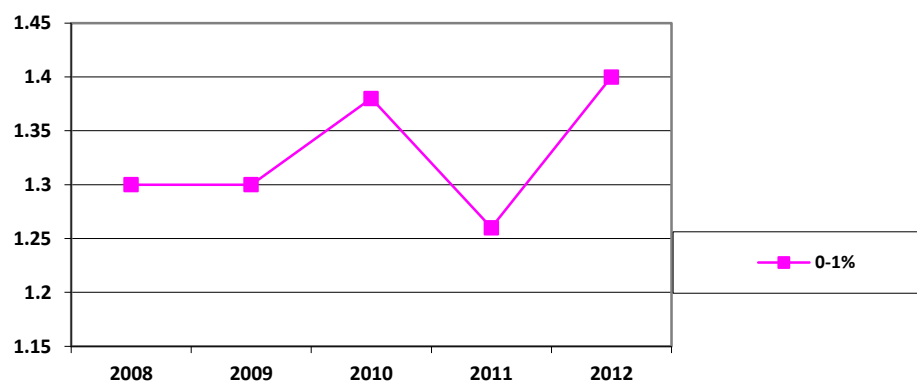
Measurement: Percent = [(# of infants and toddler birth to 1 with IFSPs) divided by the (population of infants and toddlers birth to 1)] times 100 compared to national data.

FFY	Measurable and Rigorous Target
2012	1.40% of infants and toddlers birth to 1 with IFSPs compared to national data.

Actual Target Data for 2012: Indiana served 1,162 infants, birth to 1 year in FFY2012. This represents 1.40% of the birth to one year population of 82,933.

5.1: Actual Target Data for FFY2012:

STATE	CHILD COUNT 0-1	POPULATION 0-1	% OF POP. 0-1	CURRENT ELIGIBILITY
Indiana	1,162	82,933	1.40%	Moderate Eligibility Criteria
National	42,225	3,983,689	1.06%	



Discussion of Improvement Activities and Explanation of Progress or Slippage that occurred for FFY2012:
Target was met.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY12: The state has reviewed the target and improved activities along with timelines. There are no revisions proposed.

Part C State Annual Performance Report (APR) for 2012**Overview of the Annual Performance Report Development:****Monitoring Priority: Effective General Supervision Part C / Child Find****Indicator 6:** Percent of infants and toddlers birth to 3 with IFSPs compared to national data.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement: Percent = [(# of infants and toddler birth to 3 with IFSPs) divided by the (population of infants and toddlers birth to 3)] times 100 compared to national data.

FFY	Measurable and Rigorous Target
2012	3% of infants and toddlers, birth to 3 will have IFSPs compared to national data.

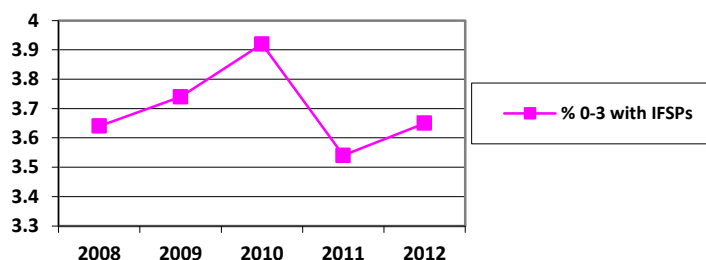
Actual Target Data for FFY12: Indiana served 9,232 infants and toddlers, birth through 2 years of age in FFY12. This represents 3.65% of the birth through two years population of 252,743. *Idea Table C1-1*

Table 6.1: Actual Target Data for FFY2012:

STATE	CHILD COUNT 0-2	POPULATION 0-2	% OF POP. 0-2	CURRENT ELIGIBILITY CRITERIA
Indiana	9,232	252,743	3.65%	Moderate
National	333,542*	12,028,122*	2.77%	

*Does not include Puerto Rico

Table 6.2



Discussion of Improvement Activities and Explanation of Progress or Slippage that occurred for FFY2012:
Target was met.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY12: The state has reviewed the target and improved activities along with timelines. There are no revisions proposed.

Part C State Annual Performance Report (APR) for 2012**Overview of the Annual Performance Report Development:****Monitoring Priority: Effective General Supervision Part C / Child Find**

Indicator 7: Percent of eligible infants and toddlers with IFSPs for whom an initial evaluation and initial assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement:

Percent = [(# of eligible infants and toddlers with IFSPs for whom an initial evaluation and initial assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline) divided by the (# of eligible infants and toddlers evaluated and assessed for whom an initial IFSP was required to be conducted)] times 100.

Account for untimely evaluations, assessments, and initial IFSP meetings, including the reasons for delays.

FFY	Measurable and Rigorous Target
2012	100% of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C's 45 day timeline.

Actual Target Data for 2012: 99.1% (9555/9638) of eligible infants and toddlers with IFSPs for whom an evaluation, assessment and an initial IFSP were conducted within Part C's 45 day timeline.

Infants Evaluated and Assessed and provided an initial IFSP meeting within Part C's 45-day timeline:

a. Number of infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP was conducted within Part C's 45 day timeline	9555
b. Number of infants and toddlers with IFSPs evaluated and assessed for whom an initial IFSP meeting was required to be conducted.	9638
Percent of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline (Percent = [(a) divided by (b)] times 100)	99.1%

Table 7.1 FFY12: Initial IFSPs Written within 45 days of Referral				
Cluster SPOE	Total IFSPs	% ≤ 45 days, including EFC	# ≥ 45 days	Number of days until IFSP was developed
State Total	9638	99.1% (9555/9638)	83	Range- 46-84
Cluster A	1052	99.5% (1047/1052)	5	46-55
Cluster B	824	99.5% (820/824)	4	49-71
Cluster C	719	99.9% (718/719)	1	46
Cluster D	599	100% (599/599)	0	
Cluster E	588	97.6% (574/588)	14	50-79
Cluster F	413	99.5% (411/413)	2	48-53
Cluster G	2882	98.5% (2840/2882)	42	46-84
Cluster H	609	98% (597/609)	12	46-83
Cluster I	1075	99.8% (1073/1075)	2	46-57
Cluster J	877	99.9% (876/877)	1	53

**The four highlighted clusters were issued a state finding, based on the annual QR visit.*

Data Source and Measurement Considerations: Indiana has a centralized data system. Every referral to Indiana First Steps is entered into the System Point of Entry (SPOE) database with the referral date, child name, and date of birth, address, referral source, and contact information. An Intake Service Coordinator contacts the family within two business days to set up an appointment to meet with the family to explain the program, family rights, and procedural safeguards and to obtain consent to gather information and to proceed with the evaluation/assessment. Once the family has consented to proceed, the intake coordinator assists with obtaining the physician health summary and in the scheduling of the evaluation/assessment within ten working days of the intake appointment. In Indiana, every child proceeding to evaluation/assessment receives a comprehensive developmental assessment by an Assessment Team (AT), a multidisciplinary team representing at least two professional disciplines. In addition to information received from the medical home and the multidisciplinary team, every child is assessed using the Assessment, Evaluation and Programming System (AEPS®). Additional observations and tests are performed as needed and appropriate.

Once the AT assessment is completed, the information is sent to the Intake Service Coordinator who contacts the family. Based on evaluation/assessment results and recommendations of the AT, the family makes a choice to proceed to an eligibility meeting or to accept the results that their child does not meet Indiana's eligibility criteria. If the family chooses to proceed, the eligibility meeting is scheduled. Once the team determines that the child is eligible, the IFSP can be developed. If the child does not meet eligibility criteria or the family chooses not to proceed to the eligibility meeting, they are provided with local resource information and are informed that they will receive a follow-up call within the next three to six months to determine if the family has continued concerns about their child's development.

After the IFSP is written, the local SPOE Cluster enters the child's date of intake, eligibility meeting and IFSP meeting into the SPOE database. If the child is not found eligible or the family chooses not to participate, the appropriate termination code is entered.

The local SPOE Cluster generates a monthly report listing every eligible child with an IFSP meeting date that exceeds the 45-day timeline. Each SPOE Cluster must submit a “Delay of IFSP” form for every IFSP that exceeds the 45-day timeline. This form provides information on why the initial 45-day timeline was not met. The parent signs this form indicating that they have been informed of their rights and procedural safeguards and understand that the IFSP exceeded the 45-day timeline and they are in agreement with the delay of IFSP reason stated on the form. Supporting documentation as to the circumstances of the delay must also be included in the Service Coordinator clinical documentation. The “Delay of IFSP” form and the clinical documentation become part of the early intervention record.

In order to monitor that the IFSP timelines are met, a Quality Review process has been developed to examine every instance when the IFSP exceeds the 45-day timeline. The determination on whether the delay was the result of an exceptional family circumstance (e.g., family medical emergency, parent/child illness, family relocation or custody change) or the result of a systemic issue is made by the State and not the SPOE Cluster. The data analysis includes the number of initial IFSPs exceeding the 45-day timeline divided by the total number of eligible infants and toddlers evaluated and assessed for whom an IFSP meeting was required and includes the reason for the delay. When the development of the IFSP exceeds 45 days, the actual date of the IFSP is recorded to ensure that the child/family did subsequently have an IFSP developed.

While Indiana monitors timelines for all IFSPs, as represented in Table 7.1, findings of non-compliance are only issued during the annual quality review visit, unless the State identifies a systemic error within a subsequent quarter. During the FFY2012, four SPOE Clusters were issued a finding of non-compliance during the annual quality review visit. While four other SPOE Clusters did have subsequent IFSPs exceed the 45 day timeline later in the year, the state did not issue a finding of non-compliance, as there were no systemic issues identified for any of these SPOE Clusters. The State did, however, continue to monitor the progress of each SPOE Cluster.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for 2012: While, Indiana has not demonstrated compliance in the percent of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C’s 45-day timeline, it remained near 100%. The State has implemented the initiatives from FFY09 (listed below) and will continue to strive for 100% compliance.

1. Review of factors contributing to delays – Each regional SPOE Cluster self-monitors the 45-day timeline through SPOE data reports on a monthly basis. SPOEs monitor key dates from referral to intake, referral to evaluation and referral to IFSP. This information allows the SPOEs to more specifically identify where delays are occurring in the process. This is an ongoing activity; there have been no significant changes in FFY2012 to the SPOE policies or procedures to monitor 45 day timeline.
2. To monitor each Cluster’s performance in conducting initial IFSP meetings within 45 days of referral, the SPOEs must provide written documentation (“Delay of IFSP” form) to explain circumstances under which any initial IFSP exceeds 45 days to the Quality Review contractor on a quarterly basis. These reports are used to identify trends and Cluster training needs.
3. Any Cluster not demonstrating 100% compliance is required to develop and implement corrective action plan to achieve full compliance as soon as possible, but no later than one year from identification. Clusters provide quarterly progress reports. Data used in the quarterly progress reports are validated by the Quality Review contractor, before any State-issued letters of compliance are written. This is an ongoing activity; Clusters are required to develop improvement plans and to submit quarterly progress reports. Once a Cluster has demonstrated compliance for a period of one quarter, the State verifies the correction and issues a letter of compliance.
4. Performance based standards - A performance based standard is written into the SPOE Request for Funding (RFF) contracts requiring each local SPOE Cluster office to ensure initial IFSPs are completed within 45 days. SPOE funding is linked to the achievement of this standard and is reviewed semi-annually.

SPOEs not meeting the 100% target may not be eligible for incentive funding of up to 1% annually. In FFY12, all SPOEs received incentive funding for substantial compliance.

The State publishes regional and statewide performance information on the 45-day timeline compliance at (<http://www.in.gov/fssa/ddrs/2812.htm>).

Table 7.2: Subsequent Correction of Non-Compliance for FFY12

During FFY 2012, four SPOE Clusters (A, F, G and J) were issued a finding for not meeting the 45 day timeline requirement. While findings are based on data from the annual quality review site visit, the State monitors data throughout the year for all SPOE Clusters as referenced in Table 7.1.

Table 7.3 FFY12: Findings for Initial IFSPs Written within 45 days of Referral				
Cluster SPOE	Verification date	% \leq 45 days, including EFC	# \geq 45 days	Number of days until IFSP was developed
Cluster A	10-21-13	100% (259/259)	0	
Cluster F	9-12-13	100% (52/52)	0	
Cluster G		98.1% (670/683)	13	46, 46, 48, 48, 49, 50, 55, 55, 57, 57, 70, 70, 71
Cluster J	9-12-13	100% (211/211)	0	

Three of the four SPOE Clusters demonstrated correction within the 1 year period. Cluster G was not able to demonstrate compliance within the year, although did meet a high level of compliance and did not demonstrate system issues. The State will continue to provide technical assistance as needed, and monitor Cluster G's performance to ensure compliance with this indicator. With the exception of Cluster G, there were no subsequent corrections needed for all other SPOE Clusters as they were able to demonstrate compliance and the State verified within one year.

Correction of FFY 2011 Findings of Noncompliance (if State reported less than 100% compliance):

1. Number of findings of noncompliance the State made during FFY 2011 (the period from July 1, 2011, through June 30, 2012)	6
2. Number of FFY 2011 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)	5
3. Number of FFY 2011 findings <u>not</u> verified as corrected within one year [(1) minus (2)]	1

Correction of FFY 2011 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance) and/or Not Corrected:

4. Number of FFY 2011 findings not timely corrected (same as the number from (3) above)	1
5. Number of FFY 2011 findings the State has verified as corrected beyond the one-year timeline ("subsequent correction")	1
6. Number of FFY 2011 findings <u>not</u> verified as corrected [(4) minus (5)]	0

Actions Taken if Noncompliance Not Corrected: In accordance with the OSEP Memorandum 09-02, the level of compliance (actual target data) the State reported in FFY 2011 for indicator 7 was 99.5% (9755/9804). As reported in the FFY 2011 APR, there were 49 IFSPs out of the 9804 written that did not meet the 45 day timeline. Six SPOE Clusters had findings issued for Indicator 7 (A, B, E, F, I, J). Five of the SPOE Clusters were able to demonstrate timely correction, within one year. Cluster J was not able to demonstrate timely compliance; however, no corrective actions have been taken. Cluster J has consistently demonstrated a very high level of compliance for FFY11 (98.9% - 854/863). No systemic issues have been identified. When the IFSP exceeded 45 days, Cluster J has documented that the parent was informed of their rights. In each incident the referred child had an evaluation, assessment and IFSP albeit after the 45 day timeline. For the period of 1/1/13-3/31/13, reported within the one year timeline since notification, Cluster J achieved 100% (211/211) compliance.

Verification of Correction: Verification of compliance was completed through onsite visits, which include file and data reviews. Corrections were verified at both the system and child level. All children received their IFSP, albeit beyond the 45 days.

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2011: Indiana has a centralized data system and verification is done through system reports and Quality Review Monitoring at the annual on-site visit. Every referral to Indiana First Steps is entered into the System Point of Entry (SPOE) database with the referral date, child name, and date of birth, address, referral source, and contact information. A quarterly report is run to capture all referrals received with dates for Intake and IFSP meeting. In order to monitor that the IFSP timelines are met, a Quality Review process has been developed to examine every instance when the IFSP exceeds the 45-day timeline. The determination on whether the delay was the result of an exceptional family circumstance (e.g., family medical emergency, parent/child illness, family relocation or custody change.) or the result of a systemic issue is made by the State and not the SPOE Cluster. The data analysis includes the number of initial IFSPs exceeding 45-day timeline divided by the total number of eligible infants and toddler evaluated and assessed for whom an IFSP meeting was required, and includes the reason for the delay. When the development of the IFSP exceeds 45 days, the actual date of the IFSP is recorded to determine if the child/family subsequently had an IFSP developed. Indiana has verified that the EIS programs with noncompliance reflected in the FFY 2011 data is correctly implementing 34 CFR §§303.321(e)(2), 303.322(e)(1), and 303.342(a) (i.e., achieved 100% compliance) based on a review of updated data such as data subsequently collected through on-site monitoring or a State data system, consistent with OSEP Memo 09-02.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2012 (if applicable): The 100% target for this indicator will continue through FFY2013. While Indiana did not meet the 100% target for this indicator, the state continues to be consistently above 99% for this indicator for the past five years. The state has reviewed its improvement activities and no revisions to the SPP are needed. Assessment teams (ATs) were moved under the supervision of the SPOE Clusters effective January 1, 2011.

Part C State Annual Performance Report (APR) for 2012**Overview of the Annual Performance Report Development:****Monitoring Priority: Effective General Supervision Part C / Effective Transition**

Indicator 8A: The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has developed an IFSP with transition steps and services at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddler's third birthday

Measurement:

Percent = [(# of toddlers with disabilities exiting Part C who have an IFSP with transition steps and services at least 90 days, and at the discretion of all parties not more than nine months, prior to their third birthday) divided by the (# of toddlers with disabilities exiting Part C)] times 100.

Account for untimely transition planning, including the reasons for delays.

FFY	Measurable and Rigorous Target
FFY12	A. 100% of eligible children, who are at least 90 days, and at the discretion of all parties not more than nine months, prior to their third birthday, will have IFSPs with transition steps and services.

Actual Target Data for FFY 2012:

100% (2464/2464) of eligible children, who are at least 90 days, and at the discretion of all parties not more than nine months, prior to their third birthday, had IFSPs with transition steps and services

In FFY2012, the state met the target of 100% for Indicator 8A of IFSPs with transition steps and services. Indiana utilizes a standard IFSP form that includes a section on transition steps, services/strategies, and timelines. This page is completed during the initial IFSP meeting and revised as needed at the six month review and annual IFSP.

Indiana monitors each EIS program (Cluster) annually. For FFY2012, Indiana reviewed a sample of IFSPs (initial and annual) written between July 1, 2012 and June 30, 2013 to determine if the IFSP had transition steps and services written in the plan. Indiana monitors each EIS program (Cluster) annually. The sampling unit for this indicator included all children, who were at least 90 days, and at the discretion of all parties not more than nine months, prior to their third birthday, with an IFSP written during FFY2012, (n=20,131). A minimum sample size of 644 IFSPs was determined by using a sampling calculator made available from the website (<http://www.raosoft.com/samplesize.html>) by Raosoft, Inc. The actual number sampled far exceeds the required sample size for a confidence level of 99%, with a confidence interval of +/- 5%. The sampling stratification process employed a random selection process based on gender and ethnicity. The data collection strategy involved

samples from each of the ten regional Clusters. The sampling stratification process employed a random selection process based on gender and ethnicity. These random samples also include at least 8 files from every service coordinator in the state, thus insuring that all geographic areas of the state were sampled. The purpose of using these categories was to ensure adequate representation of all children receiving First Steps services in Indiana.

Sample data was derived from early intervention record reviews performed by the Quality Review contractors and from state verified, early intervention record reviews. These reviews were completed by the local SPOE as part of their quality review and progress monitoring system. Random pull lists of early intervention records were sent to each Cluster. Reviewers noted if the IFSP had a completed transition planning page that included transition outcomes, dates and strategies/services.

Children Exiting Part C who Received Timely Transition Planning:

a. Number of children exiting Part C who have an IFSP with transition steps and services	2464
b. Number of children exiting Part C	2464
The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the lead agency has developed an IFSP with transition steps and services at least 90 days, and at the discretion of all parties not more than nine months, prior to their third birthday. (Percent = [(a) divided by (b)] times 100)	100%

Table 8A.1: FFY12 – IFSPs with Transition Steps & Services		
Cluster SPOE	# of IFSPs reviewed	% of IFSPs reviewed with documented transition steps & services
State	2464	100% (2464/2464)
Cluster A	291	100% (291/291)
Cluster B	232	100% (232/232)
Cluster C	116	100% (116/116)
Cluster D	178	100% (178/178)
Cluster E	104	100% (104/104)
Cluster F	177	100% (177/177)
Cluster G	809	100% (809/809)
Cluster H	105	100% (105/105)
Cluster I	244	100% (244/244)
Cluster J	208	100% (208/208)

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred in FFY 2012: Indiana has met the target of 100% for this indicator.

Subsequent compliance documentation: All SPOE Clusters were found to be in compliance for documentation of IFSP transition steps and services in FFY2012.

Correction of FFY 2011 Findings of Noncompliance (if State reported less than 100% compliance):

Level of compliance (actual target data) State reported for FFY 2011 for this indicator: 99.9%

1. Number of findings of noncompliance the State made during FFY	2
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2011 (the period from July 1, 2011, through June 30, 2012)	
2. Number of FFY 2010 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)	2
3. Number of FFY 2011 findings <u>not</u> verified as corrected within one year [(1) minus (2)]	0

In accordance with the OSEP Memorandum 09-02, the level of compliance (actual target data) the State reported in FFY 2011 for indicator 8A was 99.9% (2289/2291). As reported in the FFY 2011 APR, only two Clusters (D and G) were found to be out of compliance for documentation of IFSP transition steps and services in FFY 2011. Cluster D failed to document transition steps and services for 1 of the 181 EI records reviewed. Similarly, Cluster G failed to document transition steps and services for 1 of the 588 EI records reviewed. The SPOEs and lead agency reviewed the cause of the error. No system issues were identified. The state also verified their findings on 8/16/2012 and 8/22/2012 which indicated 100% compliance with Transition Steps and Services

Verification of Correction: Verification of compliance was completed through the onsite visits, which include file and data reviews. Corrections were verified at both the system and child level. Through state verification it was determined that all children received appropriate transition steps and services.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2012 (if applicable): The rigorous and measurable targets for this indicator must be 100%. Indiana has reviewed its SPP and no changes to the SPP improvement activities and timelines were made

Part C State Annual Performance Report (APR) for 2012**Overview of the Annual Performance Report Development:****Monitoring Priority: Effective General Supervision Part C / Effective Transition**

Indicator 8B: The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has notified (consistent with any opt-out policy adopted by the State) the SEA and the LEA where the toddler resides at least 90 days prior to the toddler's third birthday for potentially eligible Part B preschool services. (Transition Notification)

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement:

Percent = [# of toddlers with disabilities exiting Part C where notification (consistent with any opt-out policy adopted by the State) to the SEA and the LEA occurred at least 90 days prior to their third birthday for toddlers potentially eligible for Part B preschool services) divided by the (# of toddlers with disabilities who were potentially eligible for Part B)] times 100.

Account for untimely transition planning, including the reasons for delays.

FFY	Measurable and Rigorous Target
FF2012	100% of children exiting Part C and potentially eligible for Part B where the notification to the SEA and LEA occurred at least 90 days prior to their third birthday

Actual Target Data for FFY 2012:

100% (5997/5997-October and Monthly Transfers beginning November 2012) of children exiting Part C and potentially eligible for Part B had evidence of notification to the SEA and LEA at least 90 days prior to their third birthday.

Since 2005, Indiana has notified the appropriate SEA and LEA utilizing an electronic data transfer of child identifying information (name, date of birth, address) from the local SPOE to the SEA and LEA occurred at least 90 days prior to their third birthday for children who were identified as potentially eligible for Part B services. In the past, this electronic transfer was sent semi-annually in April and October. Beginning after the October 2012 transfer, electronic transfers occurred monthly. Indiana did not adopt a written notice or opt-out policy. Each month all children turning 30 months of age in the previous month are identified. This list of children is sent to the SEA and LEA and to the clusters. In addition to the children turning 30 months, late referrals are also identified (children who were referred and an IFSP written after 30 months of age) are included in the list sent to the SEA and the LEA.

Children Exiting Part C who Received Timely Transition Planning (Notification to SEA and LEA):

a. Number of children exiting Part C and potentially eligible for Part B where the notification to the SEA and LEA occurred at least 90 days prior to their third birthday	5998
b. Number of children exiting Part C who were potentially eligible for Part B	5998
The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the lead agency has notified (consistent with any opt-out policy adopted by the state) the SEA and the LEA where the toddler resides at least 90 days prior to the toddler's third birthday for potentially eligible Part B preschool services. (Transition Notification) (Percent = [(a) divided by (b)] times 100))	100%

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred in FFY 2012: Indiana provides child name, date of birth, and parent contact information to the appropriate school district (SEA and LEA) based on the address of the child's residence. For FFY11, this information was sent semi-annually in the months of October and April. After the semi-annual submission in October 2012, the electronic transfers occurred monthly for the remaining FFY12. This procedure has enabled Indiana to provide accurate notification the SEA and LEA of children potentially eligible for Part B services. Additionally, service coordinators with parental consent; invite the LEA and other community partners (Head Start and local preschool representatives) to the transition meeting. These efforts are increasing LEA and other community partner attendance at the Part C Transition meetings.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2012 (if applicable): The rigorous and measurable targets for this indicator must all be 100%. Indiana has reviewed the SPP and no revisions to the targets/activities or timelines are needed.

Part C State Annual Performance Report (APR) for FFY 2012**Overview of the Annual Performance Development:****Monitoring Priority: Effective General Supervision Part C / Effective Transition**

Indicator 8C: The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the lead agency has conducted the transition conference held with the approval of the family at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement:

Percent = [(# of toddlers with disabilities exiting Part C where the transition conference occurred at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddler's third birthday for toddlers potentially eligible for Part B) divided by the (# of toddlers with disabilities exiting Part C who were potentially eligible for Part B)] times 100.

Account for untimely transition conferences, including reasons for delays.

FFY	Measurable and Rigorous Target
FFY2012	100% of toddlers with disabilities exiting Part C where the transition conference occurred at least 90 days, and at the discretion of all parties, not more than, nine months prior to the toddler's third birthday for toddlers potentially eligible for Part B.

Actual Target Data for FFY 2012:

99.6% (1119/1123) of toddlers with disabilities exiting Part C where the transition conference occurred at least 90 days, and at the discretion of all parties, not more than nine months prior to the toddler's third birthday for toddlers potentially eligible for Part B.

Children Exiting Part C who Received Timely Transition Planning (Transition Conference):

a. Number of children exiting Part C and potentially eligible for Part B where the transition conference occurred	1119
b. Number of children exiting Part C who were potentially eligible for Part B	1123
c. The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the lead agency has conducted the transition conference held with the approval of the family at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services (Transition Conference) (Percent =	99.6%

[(a) divided by (b)] times 100)

The data source for this indicator was the review of a sample of early intervention records of children who exited Part C in FFY2012. The review was conducted by the Quality Review – Focused Monitoring Team and through state verified, quarterly progress data provided by the Clusters for their Cluster Performance Plan progress reports. This review demonstrated that 99.6% of the sample reviewed (1119/1123) had evidence of a transition meeting, within 90 to 270 days of the child's third birthday. Indiana continues to maintain a high level of compliance for this indicator.

A list of randomly selected early intervention records was compiled for each of the 10 SPOE Clusters. Indiana monitors each EIS program (Cluster) annually. For FFY2012, Indiana reviewed a sample of IFSPs (initials and any annuals that were adding a new service to the plan written between July 1, 2012 and June 30, 2013 to determine if new IFSP services were initiated within 30 days of the parent signature date of IFSP or service change page. The sampling unit for this indicator included all children with an IFSP written during FFY2012, (n=20,131). A minimum sample size of 644 IFSPs was determined by using a sampling calculator made available from the website (<http://www.raosoft.com/samplesize.html>) by Raosoft, Inc. The actual number sampled far exceeds the required sample size for a confidence level of 99%, with a confidence interval of +/- 5%. The sampling stratification process employed a random selection process based on gender and ethnicity. The data collection strategy involved samples from each of the ten regional Clusters. The purpose of using these categories was to ensure adequate representation of all children receiving First Steps services in Indiana.

Table 8C.1: FFY12 - Timely Transition Meetings			
Cluster SPOE	# of IFSPs reviewed	% of total EI Records with documented transition meeting, 90-270 days prior to third birthday	Late Transition Meeting verification, if child remained in EI Program
State	1123	99.6% (1119/1123)	
Cluster A	160	100% (160/160)	
Cluster B	167	100% (167/167)	
Cluster C	47	100% (47/47)	
Cluster D	77	100% (77/77)	
Cluster E	44	100% (44/44)	
Cluster F	75	98.6% (74/75)	Transition meeting 17 days prior to 3 rd birthday
			<ul style="list-style-type: none"> One meeting was held 89 days prior to the third birthday due to SC oversight. One meeting was held 76 days prior to the third birthday due to SC oversight. One meeting was not held due to scheduling/contact issues with the family.
Cluster G	273	98.9% (270/273)	
Cluster H	43	100% (43/43)	
Cluster I	111	100% (111/111)	
Cluster J	126	100% (126/126)	

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred in FFY 2012: Indiana has demonstrated 99.6% compliance with Indicator 8C. There has been no change from FY2011. Of the 1123, four records were found to be out of compliance; three due to Service Coordinator oversight, one due to an inability to contact the family. All Clusters demonstrated high levels of compliance in excess of 98%.

Subsequent compliance documentation: Cluster F was able to show subsequent compliance for Indicator 8C during the next quarter (1/1/13-3/31/13) with 100% (25/25) and the state verified on 9/12/13. Cluster G demonstrated compliance during the annual onsite QR visit (Oct-Dec 2012).

Table 8C.2: Subsequent Correction of Non-compliance for Timely Transition Meetings			
Cluster SPOE	# of IFSPs reviewed	% of total EI Records with documented transition meeting, 90-270 days prior to third birthday	Review Period and State Verification Date
Cluster F	25	100% (25/25)	9/12/13
Cluster G	97	100% (97/97)	11/7/13

Correction of FFY 2011 Findings of Noncompliance (if State reported less than 100% compliance):

1. Number of findings of noncompliance the State made during FFY 2011 (the period from July 1, 2011, through June 30, 2012)	3
2. Number of FFY 2011 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)	3
3. Number of FFY 2011 findings <u>not</u> verified as corrected within one year [(1) minus (2)]	0

Correction of FFY 2011 Findings of Noncompliance (if State reported less than 100% compliance):

In accordance with the OSEP Memorandum 09-02, the level of compliance (actual target data) the State reported in FFY 2011 for Indicator 8C was 99.6% (1081/1084). As reported in the FFY 2011 APR, three clusters had findings issued for Indicator 8C (C, E, and H). Two instances were due to children exiting the program without a formal meeting. One instance was a service coordinator oversight. All clusters were able to demonstrate timely correction, within one year of notification. Cluster C, E, and H were able to show subsequent compliance for Indicator 8C during state verification visits on 10/13/2012. Indiana has verified that the EIS programs with noncompliance identified in FFY 2011 have a documented transition meeting, 90-270 days prior to the child's third birthday.

Verification of Correction: Verification of compliance was completed through the onsite visits, which include file and data reviews. Corrections were verified at both the system and child level.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2012 (if applicable): The rigorous and measurable targets for this indicator must all be 100%. Indiana has reviewed its SPP and no revisions to the targets, improvement activities and timeline were required.

Part C State Annual Performance Report (APR) for 2012**Overview of the Annual Performance Report Development:****Monitoring Priority: Effective General Supervision Part C / General Supervision**

Indicator 9: General supervision system (including monitoring, complaints, hearings, etc.) identifies and corrects noncompliance as soon as possible but in no case later than one year from identification.

(20 U.S.C. 1416 (a)(3)(B) and 1442)

Measurement:

Percent of noncompliance corrected within one year of identification:

- a. # of findings of noncompliance.
- b. # of corrections completed as soon as possible but in no case later than one year from identification.

Percent = [(b) divided by (a)] times 100.

States are required to use the “Indicator C 9 Worksheet” to report data for this indicator (see Attachment A).

FFY	Measurable and Rigorous Target
FFY 2011	100% of noncompliance corrected within one year of identification

Actual Target Data for FFY 2011:

98.1% (52/53) of noncompliance was corrected within one year of identification.

Describe the process for selecting EIS programs for Monitoring: Indiana has ten regional Clusters. Every Cluster undergoes on-site monitoring annually. For each finding of non-compliance, the lead agency verifies correction of the issue at both the individual child level as well as the Cluster/system level.

Indiana has a comprehensive general supervision system that includes the statewide data system, a statewide quality review-focused monitoring system, local quality review committees and an ongoing research initiative on program outcomes performed by the Indiana Institute on Disability and Community (IIDC) at Indiana University. A description of each component is provided below.

1. Indiana’s computerized data system was developed in 1994. A data file is created for every child referred to the First Steps system. Data for children found eligible include fields for child/family/provider information (date of birth, referral, intake, evaluation, IFSP, termination with reason; child demographic data; and provider information). Data for each Cluster System Point of Entry (SPOE) can be reviewed at any time by state and/or the local Cluster. The Cluster SPOEs can generate preset reports for use by their Local Planning and Coordinating Council (LPCC). State administrators can access all Cluster SPOE data and

can generate preset and ad hoc reports. This data is used by the state as a source for ongoing desk audits of the system. The Central Reimbursement Office (CRO) data included child/family authorization and claims data.

2. The Data Warehouse (A state contracted entity that uses state provided data to develop 618 data and state profile reports) provides the state with county, Cluster and statewide data reports. These reports are used by the state and Clusters to monitor trends over time. The profiles of the state and Clusters are posted on the state website for public access. They can be viewed at <http://www.in.gov/fssa/ddrs/2812.htm>.
3. In 1998, Indiana initiated Peer Monitoring as a component of its general supervision system. Through technical assistance provided by NCSEAM, Indiana revised its general supervision system to incorporate a focused monitoring (FM) approach in 2004. The state First Steps System contracts with three entities to provide quality review coordination, on-site reviews and local technical assistance. Indiana has ten Cluster System Points of Entry (SPOEs) that serve as the local entity for referrals to Part C. The SPOEs maintain the early intervention record and since 2006 have employed all Service Coordinators and, in 2011, all Assessment Teams. Each of the ten Cluster SPOEs receives quarterly technical assistance visits and an annual verification visit. These visits are led by the Quality Review team leader responsible for the Cluster. Additional team members include state staff, peers from other Clusters, providers and parents. To provide public reporting of the Cluster performance, Cluster Report Cards were developed in 2006. The reports were revised in 2007 to mirror the Part C State Performance Plan (SPP) indicators. In addition to the annual verification visits, the SPOEs provide quarterly quality review reports and progress updates through their Cluster Performance Plans (CPP). The CPP serves as the Cluster's quality monitoring plan and includes strategies to correct any findings issued by the State, as soon as possible, but no later than one year. Clusters must submit progress data to demonstrate compliance. Once the Cluster SPOE has demonstrated compliance for a reporting period, the data are verified by the state, the finding is verified corrected and the state issues a letter of compliance.

In January of 2012, findings were issued to each Cluster SPOE. While all Clusters were found to meet requirements, each Cluster SPOE received a findings table which listed all noncompliance requiring correction. The Cluster SPOEs were directed to demonstrate 100% compliance for indicators 1, 7, 8, and 9, along with the other related areas of noncompliance (annual IFSPs completed prior to expiration, timely six month reviews, ten day written prior notice, income and insurance documentation) as soon as possible, but no later than one year from the date of the finding. Utilizing the information from the findings table, each Cluster SPOE was required to develop a CPP that identified activities, strategies and timelines for correction of any noncompliance. SPOEs were required to provide periodic progress data and narrative updates to demonstrate compliance with the indicators at six months, nine months and eleven months from the date of the finding. For FFY2012, there were a total of 28 findings for noncompliance with State Performance Plan indicators and 24 findings were for other related areas of noncompliance.

Since the last OSEP verification visit, Indiana has modified its quality review focused monitoring onsite visit schedule so that data can be provided to state staff in a timely manner. This will allow the state to issue findings within the current federal fiscal year. Quality Review-Focused Monitoring (QRFM) visits for FFY2012 were conducted in the months of October through December, 2012, with findings issued by the state to the Cluster within 90 days of the completion of all visits. All findings were required to be corrected within no later than one year.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that Occurred for FFY 2012:

Indiana has maintained a high level of compliance with this indicator at 98.1%. This represents an increase 1.5% from FFY11 (96.6%). Cluster J had remaining noncompliance under the state reported Indicator 7 in FFY11. Cluster J did not correct noncompliance within the one year timeline but did correct in the second quarter of FFY 2012 with 100% compliance (211/211). Cluster J has consistently demonstrated a very high level of compliance for FFY11 (98.9% - 854/863) and no systemic issues were identified. In accordance with the OSEP Memorandum 09-02, verification of compliance was completed through onsite visits, which include file and data reviews. Corrections were verified at both the system and child level. When the IFSP exceeded 45 days, Cluster J documented that the parent was informed of their rights. In each incident the referred child had an evaluation, assessment and IFSP albeit after the 45 day timeline.

Timely Correction of FFY 2011 Findings of Noncompliance (corrected within one year from identification of the noncompliance):

1. Number of findings of noncompliance the State identified in FFY 2011 (the period from July 1, 2011, through June 30, 2012) (Sum of Column a on the Indicator C9 Worksheet)	53
2. Number of findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS programs of the finding) (Sum of Column b on the Indicator C9 Worksheet)	52
3. Number of findings <u>not</u> verified as corrected within one year [(1) minus (2)]	1

Correction of FFY 2011 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance) and/or Not Corrected:

4. Number of FFY 2011 findings not timely corrected (same as the number from (3) above)	1
5. Number of FFY 2011 findings the State has verified as corrected beyond the one-year timeline ("subsequent correction")	1
6. Number of FFY 2011 findings <u>not</u> yet verified as corrected [(4) minus (5)]	0

Verification of Correction for findings of noncompliance identified in FFY2011 (either timely or subsequent):**Indicator 1:****C1.1 Correction of Timely Services (Timely & Subsequent)**

Clusters SPOE	FFY11 Reported Data	State Verified Correction of Non-Compliance Data	State Verification Letter
Cluster A	98.57% (276/280)	100% (89/89)	7/18/12
Cluster B	99.29% (279/281)	100% (86/86)	7/19/12
Cluster C	99.6% (255/256)	100% (90/90)	10/13/12
Cluster D	99.25% (132/133)	100% (77/77)	8/16/12
Cluster E	98.85% (259/262)	100% (95/95)	10/13/12
Cluster F	96.8% (122/126)	100% (25/25)	10/4/12
Cluster G	98.3% (583/593)	100% (190/190)	11/9/12
Cluster H	99.6% (229/230)	100% (83/83)	10/13/12
Cluster I	99% (157/158)	100% (40/40)	8/31/12
Cluster J	98.9% (181/183)	100% (34/34)	6/15/12

In accordance with the OSEP Memorandum 09-02, the state issued 10 findings for Indicator 1 (Clusters A, B, C, D, E, F, G, H, I, J) in FFY 2011. Indiana was able to demonstrate timely correction of noncompliance and state verification of correction for 10 of 10 Clusters. Verification of correction of noncompliance was completed prior to one year from the finding. The FFY 2011 APR reported that in the 29 individual child instances where services were not provided timely, 28 did receive the services, albeit not within 30 days. In the FFY 2011 APR, it was reported that one child, in Cluster J, never received services. Upon further review of the log notes and data entry

information, services were eventually provided to this child but almost 5 months after the initial IFSP was written. The family moved within the county after the initial IFSP meeting but did not inform the local SPOE office about the move. Family re-initiated contact with the SPOE 3 months later indicating the new address and services began on day 126. Upon further review, all children (29 of 29 children) received their services, albeit beyond the 30 days, and Indiana has verified and corrected each individual case of noncompliance, consistent with the requirements in OSEP Memo 09-02.

Verification of Correction: Verification of compliance was completed through onsite visits, which include file and data reviews. Corrections were verified at both the system and child level. All children received their services, albeit beyond the 30 days.

Indicator 7:

Cluster SPOE	Total IFSP'	FFY2011 Reported Data	State Verification of Noncompliance Data	State Verification Letters
State Total	9804	99.5% (9755/9804)		
Cluster A	1093	99.73% (1090/1093)	100% (235/235)	1/5/12
Cluster B	849	99.73% (847/849)	100% (243/243)	3/31/12
Cluster C	700	99% (694/700)	100% (190/190)	9/30/11
Cluster D	529	99.8% (528/529)	100% (122/122)	9/30/11
Cluster E	623	99.68% (621/623)	100% (166/166)	1/5/12
Cluster F	439	98.18% (431/439)	100% (114/114)	3/31/12
Cluster G	3091	99.61% (3079/3091)	100% (776/776)	9/30/11
Cluster H	552	99.82% (551/552)	100% (145/145)	9/30/11
Cluster I	1065	99.34% (1058/1065)	100% (255/255)	6/30/12
Cluster J	863	98.96% (854/863)	*	

* Cluster did not correct noncompliance within the one year timeline but did correct in the second quarter of FFY 2012.

In accordance with the OSEP Memorandum 09-02, the level of compliance (actual target data) the State reported in FFY 2011 for indicator 7 was 99.5% (9755/9804). As reported in the FFY 2011 APR, there were 49 IFSPs out of the 9804 written that did not meet the 45 day timeline. Six SPOE Clusters had findings issued for Indicator 7 (A, B, E, F, I, J). Five of the SPOE Clusters were able to demonstrate timely correction, within one year. Cluster J was not able to demonstrate timely compliance; however, no corrective actions have been taken. Cluster J has consistently demonstrated a very high level of compliance for FFY11 (98.9% - 854/863). No systemic issues have been identified. When the IFSP exceeded 45 days, Cluster J has documented that the parent was informed of their rights. In each incident the referred child had an evaluation, assessment and IFSP albeit after the 45 day timeline. For the period of 1/1/13-3/31/13, reported within the one year timeline since notification, Cluster J achieved 100% (211/211).

Verification of Correction: Verification of compliance was completed through onsite visits, which include file and data reviews. Corrections were verified at both the system and child level. All children received their IFSP, albeit beyond the 45 days.

Indicator 8A: Timely Transition-IFSPs with Steps and Services

Cluster SPOE	FFY11 Reported Data	State Verified Correction of Non-Compliance Data	State Verification Letter
Cluster D	99.4% (180/181)	100% (53/53)	8/16/12
Cluster G	99.8% (587/588)	100% (175/175)	8/22/12

In accordance with the OSEP Memorandum 09-02, the level of compliance (actual target data) the State reported in FFY 2011 for indicator 8A was 99.9% (2289/2291). As reported in the FFY 2011 APR, only two Clusters (D and G) were found to be out of compliance for documentation of IFSP transition steps and services in FFY 2011. Cluster D failed to document transition steps and services for 1 of the 181 EI records reviewed. Similarly, Cluster G failed to document transition steps and services for 1 of the 588 EI records reviewed. The SPOEs and lead agency reviewed the cause of the error. No system issues were identified. The state also verified their findings on 8/16/2012 and 8/22/2012 which indicated 100% compliance with Transition Steps and Services

Verification of Correction: Verification of compliance was completed through the onsite visits, which include file and data reviews. Corrections were verified at both the system and child level. Through state verification it was determined that all children received appropriate transition steps and services.

Indicator 8C: Timely Transition-Conference if child is potentially eligible for Part B

Cluster SPOE	FFY2011 Reported Data	State Verified Correction of Noncompliance Data	State Verification Letter	# of records out of compliance	Verification of correction of individual child records
Cluster C	98.9% (96/97)	100% (25/25)	10/13/12	1	Child exited program without formal transition meeting
Cluster E	98.7% (76/77)	100% (30/30)	10/13/12	1	Child exited program without formal transition meeting
Cluster H	98.5% (68/69)	100% (26/26)	10/13/12	1	Service Coordination oversight

In accordance with the OSEP Memorandum 09-02, three clusters had findings issued for Indicator 8C (C, E, and H). Two instances were due to children exiting the program without a formal meeting. One instance was a service coordinator oversight. All clusters were able to demonstrate timely correction, within one year of notification. Cluster C, E, and H were able to show subsequent compliance for Indicator 8C during state verification visits on 10/13/2012. Verification of compliance was completed through onsite visits, which include the file and data review. Corrections were verified at both the system and the child level. Indiana has verified that the EIS programs with noncompliance identified in FFY 2011 had a documented transition meeting, 90-270 days prior to the child's third birthday, consistent with OSEP Memorandum 09-02.

Other Areas of Noncompliance:

1) Annual IFSP Written Prior to Expiration

Cluster SPOE	FFY2011 Reported Data	State Verified Correction of Noncompliance Data	State Verification Letter
Cluster A	99% (101/102)	100% (32/32)	3/31/12
Cluster G	97.9% (185/189)	100% (85/85)	3/31/12
Cluster J	98.2% (107/109)	100% (34/34)	3/31/12

As reported in FFY2011, Indiana was able to demonstrate correction of noncompliance and state verification of correction for 3 of 3 Clusters, within the one year period.

2) Timely 6 Month Review of IFSP**Correction of FFY2011 Noncompliance – Timely 6th Month IFSP Review**

Cluster SPOE	FFY11 Reported Data	FFY11 State Verified Correction of Non-Compliance Data	State Data Verification Date
Cluster A	99% (102/103)	100% (32/32)	3/31/12
Cluster B	97.9% (96/98)	100% (25/25)	3/31/12
Cluster D	98.8% (85/86)	100% (25/25)	3/31/12
Cluster H	98.1% (52/53)	100% (32/32)	3/31/12
Cluster J	99% (108/109)	100% (34/34)	3/31/12

In FFY2011, Indiana issued a finding to 5 Clusters. The state has verified that each of these Clusters has achieved 100% compliance. Additionally, the state has verified that all of these children did receive a review of their IFSP and authorized services, although after the 6 month due date.

3) Written Prior Notice:**Correction of FFY2011 Noncompliance – Written Prior Notice**

Cluster SPOE	FFY11 Reported Data	FFY11 State Verified Correction of Non-Compliance Data	State Data Verification Date
Cluster A	99.7% (321/322)	100% (89/89)	3/31/12
Cluster B	99.7% (369/370)	100% (114/114)	3/31/12
Cluster D	98.9% (282/285)	100% (80/80)	3/31/12
Cluster E	98.5% (336/345)	100% (125/125)	3/31/12
Cluster F	89.5% (136/152)	100% (25/25)	6/30/12
Cluster G	99.9% (700/701)	100% (366/366)	3/31/12
Cluster H	99.5% (189/190)	100% (109/109)	3/31/12
Cluster J	99.4% % (357/359)	100% (101/101)	3/31/12

Indiana monitors written prior notice as part of procedural safeguards. The presence of written prior notice documentation is reviewed for the initial, IFSP, the annual IFSP the six month review, and the transition meeting. In FFY2011, Indiana reported eight Cluster SPOEs were issued findings. The state has verified that 8 out of 8 of the Clusters achieved 100% compliance. Clusters were monitored for systems corrections.

4) Documentation of Family Income**Correction of FFY2011 Noncompliance – Family Income Documentation**

Cluster SPOE	FFY11 Reported Data	State Verified Correction of Non-Compliance Data	State Data Verification Date
Cluster A	98.3% (174/177)	100% (57/57)	3/31/12
Cluster B	97.2% (177/182)	100% (60/60)	6/30/12
Cluster C	96.3% (104/108)	100% (58/58)	3/31/12
Cluster D	99.4% (155/156)	100% (51/51)	3/31/12
Cluster E	99.1% (113/114)	100% (63/63)	3/31/12
Cluster F	96% (97/101)	100% (25/25)	6/30/12
Cluster G	99.7% (313/314)	100% (177/177)	3/31/12
Cluster H	99% (95/96)	100% (51/51)	3/31/12
Cluster I	97% (127/131)	100% (40/40)	6/30/12
Cluster J	95.5% (211/221)	100% (68/68)	3/31/12

Indiana monitors documentation of income in the EI record. Indiana requires documentation of income for the determination of the family co-pay. Families choosing not to disclose income may still receive Part C services, but must pay full fee for those services eligible for copay. The presence of income documentation is reviewed for the initial and annual IFSP. In FFY2011, Indiana reported 10 Clusters were issued findings. The state has verified that 10 of these Clusters have achieved 100% compliance within the one year period.

Families are not penalized for the Service Coordinators failure to provide income documentation. The subsequent correction of an individual child/family's income documentation is made at the quarterly visit prior to the annual IFSP. Clusters were monitored for systems corrections through onsite visits and file reviews.

5) Documentation of Insurance

Correction of FFY2011 Noncompliance – Family Insurance Documentation

Cluster SPOE	FFY11 Reported Data	State Verified Correction of Non-Compliance Data	State Data Verification Date
Cluster A	97.2% (172/177)	100% (57/57)	3/31/12
Cluster C	99% (107/108)	100% (58/58)	3/31/12
Cluster F	96% (97/101)	100% (25/25)	3/31/12
Cluster J	99.5% (220/221)	100% (68/68)	3/31/12

Indiana monitors documentation of insurance in the EI record. Indiana requires documentation of insurance. Families choosing not to disclose insurance may still receive Part C services, but must pay full fee. The presence of insurance documentation is reviewed for the initial and annual IFSP. In FFY2011, Indiana reported 4 Cluster SPOEs were issued findings. The state has verified that the Clusters have achieved 100% compliance. Families are not penalized for the Service Coordinators failure to provide insurance documentation. The subsequent correction of an individual child/family's insurance documentation is made at the quarterly visit prior to the annual IFSP. Clusters were monitored for systems corrections.

6) Appropriate Use of Funds for Provider Services: Indiana performs provider audits to review documentation to support provider billing. In these audits, providers submit parent signed visit forms that are compared the date and time submitted for the provider claim. Providers who are unable to support documentation of the visit receive written notification from the state and are required to pay back the amount reimbursed to the provider for that session. 2 providers were cited with a finding in FFY2011. All 2 providers received notice that the undocumented amount would be subtracted from future claims. All 2 findings were considered corrected once the provided was cited and the reimbursement was paid back to the state.

Indicator 17: Correction of FFY2010 Noncompliance – Written Prior Notice 1 finding of noncompliance from FFY10 was subsequently corrected albeit outside the one year time period Cluster H.

Indicator 18: Cost Participation/Income Documentation Correction of FFY2010 Noncompliance 1 finding of noncompliance from FFY10 was subsequently corrected albeit outside the one year time period Cluster C.

Correction of Remaining FFY 2010 Findings of Noncompliance (if applicable):

If the State reported less than 100% for this indicator in its FFY 2010 APR and did not report in the FFY 2011 APR that the remaining FFY 2010 findings were subsequently corrected, provide the information below:

1. Number of remaining FFY 2010 findings noted in OSEP's June 2011 FFY 2011 APR response table for this indicator	2
2. Number of remaining FFY 2010 findings the State has verified as corrected	2
3. Number of remaining FFY 2010 findings the State has NOT verified as corrected	0

[(1) minus (2)]	
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Actions Taken if Noncompliance Not Corrected: Not Applicable

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None requested

Statement from the Response Table	State's Response

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2012 (if applicable): While Indiana did not meet the 100% target for this indicator; the state continues to be consistently at a high level of compliance. The state has reviewed its improvement activities and no revisions were made to the SPP.

INDICATOR C-9 WORKSHEET

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2011 (7/1/11 through 6/30/12)	(a) # of Findings of noncompliance identified in FFY 2011 (7/1/11 through 6/30/12)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
1. Percent of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	10	10	10
	Dispute Resolution: Complaints, Hearings	0	0	0

2. Percent of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0
	Dispute Resolution: Complaints, Hearings	0	0	0
3. Percent of infants and toddlers with IFSPs who demonstrate improved outcomes	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0
	Dispute Resolution: Complaints, Hearings	0	0	0

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2011 (7/1/11 through 6/30/12)	(a) # of Findings of noncompliance identified in FFY 2011 (7/1/11 through 6/30/12)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
4. Percent of families participating in Part C who report that early intervention services have helped the family	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0
	Dispute Resolution: Complaints, Hearings	0	0	0
5. Percent of infants and toddlers birth to 1 with IFSPs	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0
	Dispute Resolution: Complaints, Hearings	0	0	0

6. Percent of infants and toddlers birth to 3 with IFSPs	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0
	Dispute Resolution: Complaints, Hearings	0	0	0
7. Percent of eligible infants and toddlers with IFSPs for whom an initial evaluation and initial assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline.	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	6	6	5
	Dispute Resolution: Complaints, Hearings	0	0	0
Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2011 (7/1/11 through 6/30/12)	(a) # of Findings of noncompliance identified in FFY 2011 (7/1/11 through 6/30/12)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
8. The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has:	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	2	2	2
A. Developed an IFSP with transition steps and services at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddler's third birthday;	Dispute Resolution: Complaints, Hearings	0	0	0
8. The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has:	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0

B. Notified (consistent with any opt-out policy adopted by the State) the SEA and the LEA where the toddler resides at least 90 days prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services; and	Dispute Resolution: Complaints, Hearings	0	0	0
Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2011 (7/1/11 through 6/30/12)	(a) # of Findings of noncompliance identified in FFY 2011 (7/1/11 through 6/30/12)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
8. The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has:	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	3	3	3
C. Conducted the transition conference held with the approval of the family at least 90 days, and at the discretion of all parties, not more than nine months, and prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services.	Dispute Resolution: Complaints, Hearings	0	0	0
OTHER AREAS OF NONCOMPLIANCE: 34CFR §303.343(a) Annual IFSP written prior to expiration	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	3	3	3

	Dispute Resolution: Complaints, Hearings	0	0	0
OTHER AREAS OF NONCOMPLIANCE: 34CFR§303.342(b) Timely 6 month IFSP review	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	5	5	5
	Dispute Resolution: Complaints, Hearings	0	0	0
Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2011 (7/1/11 through 6/30/12)	(a) # of Findings of noncompliance identified in FFY 2011 (7/1/11 through 6/30/12)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
OTHER AREAS OF NONCOMPLIANCE: 639(a)(6) 470 IAC 3.1-13-2(a) Written Prior Notice	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	8	8	8
	Dispute Resolution: Complaints, Hearings	0	0	0
OTHER AREAS OF NONCOMPLIANCE: IC12-12.7-2-17 Cost participation plan; income documentation	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	10	10	10
	Dispute Resolution: Complaints, Hearings	0	0	0
OTHER AREAS OF NONCOMPLIANCE: IC12-12.7-2-17 Cost participation plan; insurance documentation	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	4	4	4
	Dispute Resolution: Complaints, Hearings	0	0	0
OTHER AREAS OF NONCOMPLIANCE: 637 (b)(6) 470 IAC 3.1-3-4(5)(c) Appropriate use of funds for provider services	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	2	2	2

	Dispute Resolution: Complaints, Hearings	0	0	0
Sum the numbers down Column a and Column b			53	52
Percent of noncompliance corrected within one year of identification = (column (b) sum divided by column (a) sum) times 100.			(b) / (a) X 100 =	98.1%

Part C State Annual Performance Report (APR) for 2012**Overview of the Annual Performance Report Development:****Monitoring Priority: Effective General Supervision Part C / General Supervision**

Indicator 12: Percent of hearing requests that went to resolution sessions that were resolved through resolution session settlement agreements (applicable if Part B due process procedures are adopted).

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement: Percent = (3.1(a) divided by 3.1) times 100.

FFY	Measurable and Rigorous Target
2012	Not Applicable - Indiana has not adopted Part B due process hearing procedures.

Actual Target Data for FFY2012: This indicator is not applicable, as Indiana has not adopted Part B due process hearing procedures.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2012: Not applicable, as Indiana has not adopted Part B due process hearing procedures.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2012: Indiana has not set targets for this indicator, as the state has not has not adopted the Part B due process hearing procedures under 34 CFR § 303.420.

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable):
None requested.

Part C State Annual Performance Report (APR) for 2012**Overview of the Annual Performance Report Development:****Monitoring Priority: Effective General Supervision Part C / General Supervision**

Indicator 13: Percent of mediations held that resulted in mediation agreements.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement: Percent = $[(2.1(a)(i) + 2.1(b)(i)) \text{ divided by } 2.1] \text{ times } 100$.

FFY	Measurable and Rigorous Target
2012	NOT APPLICABLE – Indiana has not set targets for this indicator, as it has not met the minimum threshold of 10 mediation requests.

Actual Target Data for FFY2012: There were no mediation requests in FFY2011.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2012: Indiana, through the Division of Disability and Rehabilitative Services-Bureau of Child Development Services, maintains a contract with a special education attorney to assist with mediations. The attorney provides the Part C staff with assistance in the development and implementation of policies and procedures regarding due process, complaints, mediations and hearings. Once the IDEA, Part C regulations are available, the attorney will address any needed revisions to the current policies and procedures.

The Service Coordinator and Direct Service Provider orientation trainings were revised and each provides expanded sections on procedural safeguards. As previously mentioned, revisions to the booklet, "A Family's Guide to Procedural Safeguards" were completed in FFY2008.

Revisions, with Justification, to Proposed Targets/Improvement Activities/Timelines/Resources for FFY2012: Indiana has never received the minimum of 10 mediation requests; therefore, no targets have been set for this indicator.

Additional Information required by the OSEP APR Response Table for this Indicator (if applicable): None requested.

Part C State Annual Performance Report (APR) for 2012**Overview of the Annual Performance Report Development:****Monitoring Priority: Effective General Supervision Part C / General Supervision**

Indicator 14: State reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement: State reported data, including 618 data, State performance plan, and annual performance reports, are:

- a. Submitted on or before due dates (February 1 for child count, including race and ethnicity, setting, and November 1 for exiting, personnel, and dispute resolution)
- b. Accurate, including covering the correct year and following the correct measurement.

As stated in the Indicator Measurement Table, State may, not are not required, to report data for this indicator. OSEP will use the Indicator 14 Rubric to calculate the State's data for this indicator. State will have an opportunity to review and respond to OSEP's calculation of the State's data.

FFY	Measurable and Rigorous Target
2012	100% of state reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate.

Actual Target Data for FFY2012: 100% of the required state reported data, including 618 data; SPP and APR were submitted by the dates due and have been verified by state staff as accurate. (Self-Calculating Data Rubric for Table 14 is attached.)

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2012: Indiana has submitted accurate and timely data to OSEP. The state is confident in the accuracy of its comprehensive data system. Data from the IFSP are entered directly by the Cluster SPOE and claims information is provided by the Central Reimbursement Office (CRO). Data from both these sources is provided to the Data Warehouse for additional analysis.

Missing data elements on IFSPs are returned to Service Coordinators for completion. Indiana's data system contains numerous self-audits to prevent the input of invalid data (for example, a referral date cannot be entered prior to the birth date or IFSP date cannot be prior to the eligibility date). Other validations include multiple sources for most data elements. Additionally, all data supplied by the SPOE's are monitored annually during on-site visits focused monitoring verification visits to each of the ten Cluster SPOEs. The dynamic nature of the system requires constant validation of data and on-going training. Training is conducted regarding requirements and procedures for collecting and reporting data for individuals who perform data entry functions at the Cluster SPOEs.

The SPP and APR are posted on the state training website (<https://www.utsprokids.org/forms-resources/state-forms-and-reports/>) in addition to the public report on the performance of programs in comparison to State SPP targets for indicators 1, 2, 3, 4, 5, 6, 7, and 8A, 8B 8C and 9.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2012: This is a compliance indicator and the target is set at 100%.

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None requested.

2012 SPP/APR Data - Indicator 14			
APR Indicator	Valid and Reliable	Correct Calculation	Total
1	1	1	2
2	1	1	2
3	1	1	2
4	1	1	2
5	1	1	2
6	1	1	2
7	1	1	2
8a	1	1	2
8b	1	1	2
8c	1	1	2
9	1	1	2
12	NA	NA	0
13	1	1	2
		Subtotal	24
APR Score Calculation	Timely Submission Points - If the FFY 2012 APR was submitted on-time, place the number 5 in the cell on the right.		5
	Grand Total - (Sum of subtotal and Timely Submission Points) =		29